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ABSTRACT

This report, the culmination of the 3-year "New York Document Conservation Administration Training and Planning Project," represents a distillation of the best thinking about preservation issues in New York after an exhaustive process of consultation and review. Its thesis is that preservation of New York State's historical records, rare printed materials, and other research materials ought to be--but is not now--a matter or urgent public concern. The state's unique research materials serve as a vast common memory bank in order to better understand the past and the present and to prepare for the future. Due to neglect, improper storage, paper deterioration, and disasters, such as fire and flooding, the physical condition of these valuable resources puts the prospects for their future use in doubt. A well-coordinated, long-term, statewide offensive is needed to meet the preservation goals. The issues and recommendations for immediate action include: (1) identification and selection of unique research resources in New York; (2) education and training for professional and technical staff; (3) preservation standards, guidelines, and information services; (4) disaster preparedness and assistance; (5) local and statewide public awareness; (6) investigation of preservation service needs and options; (7) state financial and technical assistance; (8) national cooperation and support; and (9) ongoing preservation evaluation and planning. The appendices titles are: (1) The New York Document Conservation Administration Training and Planning Project: History and Purpose; (2) Reviewing Groups; (3) Statewide Preservation Conference, May 15, 1986; (4) For Further Reading; and (5) Sources of Assistance and Advice. Numerous black and white photographs are included. (DJC)

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Preserving New York's Unique Research Resources

A Report and Recommendations to the Citizens of New York by the New York Document Conservation Advisory Council

1988

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The New York Document Conservation Advisory Council 1983-1986

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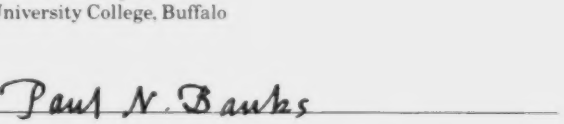

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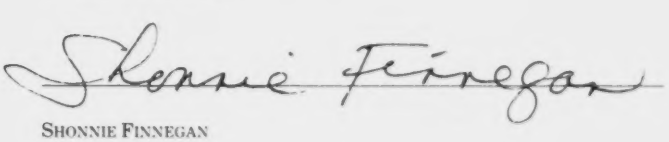

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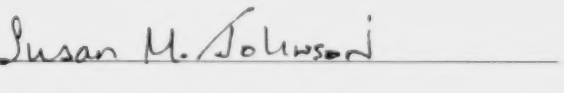

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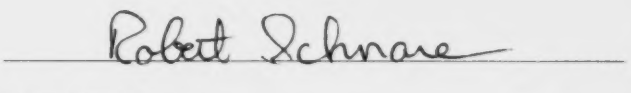

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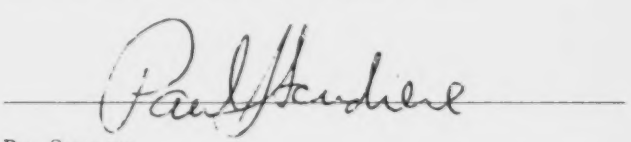

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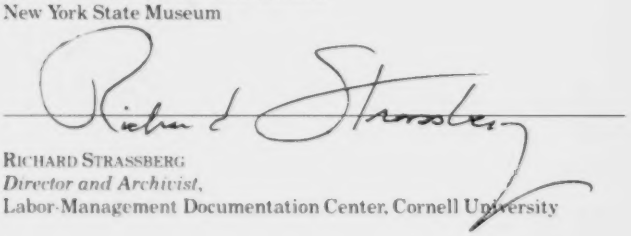

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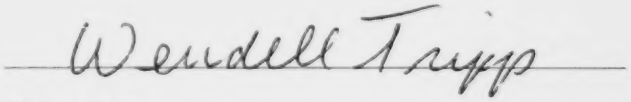

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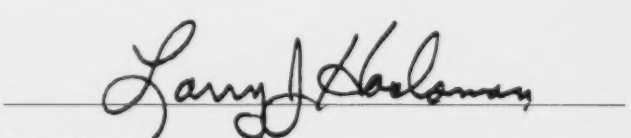

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Foreword

Our Memory at Risk has an alarming message. It reports the impending loss, some of it immediate and some in the longer run, of New York's recorded memory: its archives and manuscripts, rare newspapers and printed documents, and other unique research materials. This loss is inevitable – *unless* the citizens of New York act *now* to ensure the preservation of these irreplaceable documents. This report gives the people the basis for doing so.

Our Memory at Risk has several purposes and addresses a broad audience. It explains why New Yorkers have a direct interest in the preservation of historical records and other unique research materials. It provides an overview of current preservation problems. It describes conditions in the State's repositories that identify, preserve, and make these materials available. Most importantly, it recommends actions necessary to ensure the survival of these materials or of the information they contain.

The report is aimed at *all* New Yorkers: historians and other scholars who study documents in order to share their insights with others and enable society to prepare for the future; inquisitive researchers who want to know more about their families and communities in order to locate themselves in the stream of time; educators who know that historical records and other primary sources can bring history to life for their students; taxpayers interested in sound documentation of government, its legal obligations, and the rights of the citizens it serves; and all residents of the Empire State who recognize that it is important to connect with, understand, and use our legacy from the past.

The report is addressed most directly to those citizens who can use it immediately as an action document to save New York's written past. It calls out to State legislators, the Governor, and other State government leaders who have direct responsibility for preservation of the State government's own archives, for the research resources in the State Library and in other State institutions, and, less directly, for research resources throughout the State. It alerts local government legislators and administrators who need to ensure the preservation of the archival records in New York's thousands of counties, cities, towns, villages, and other local governments. It appeals to trustees, directors, and administrators of libraries, historical societies, corporate archives and other repositories, who must make a coordinated effort to ensure that the most valuable residue of past thought and action is systematically identified, preserved, organized, and accessible. It speaks to archivists and librarians who, in their professional capacities, superintend these irreplaceable materials. Its message is meant for civic groups, service organizations, community improvement groups, and others whose mission is the betterment of the State and its communities. These key resource allocators, decision makers, and leaders must take decisive, concerted, and continuing action if our unique research materials are to survive into the twenty-first century and beyond.

Our Memory at Risk focuses on the preservation of *unique* research resources. Although some of its recommendations will help prolong the life of valuable but non-unique collections throughout the State, *Our Memory at Risk* should be regarded as only a first step toward defining needs and advancing recommendations for this broader universe of research resources. It can serve as a pilot, and perhaps a partial model, for addressing the preservation needs of all of New York's printed research collections.

Acknowledgements

Many individuals and organizations throughout the Empire State – and some beyond its borders – contributed to the New York Document Conservation Project and to *Our Memory at Risk*. A National Endowment for the Humanities grant partially supported the project, and John Agresto, its former Acting Chairman, gave a moving and thoughtful keynote address for the statewide conference. Jeff Field of the Endowment's Preservation Office provided sound advice and assistance throughout all phases of the project. Frank Burke, Acting Archivist of the United States, and members of the national panel of experts, helped put our efforts in New York in a broader national perspective. Robert J. Maurer, Executive Deputy Commissioner of the State Education Department, and Laura Chodos, Acting Chairperson of the State Board of Regents' Committee on Cultural Education, helped put the conference and report in the context of State government policies and programs. Carole Huxley, Deputy Commissioner for Cultural Education, who directs the office of the State Education Department that contains both the State Archives and the State Library, gave us her enthusiastic support throughout, and her advice at crucial points – and she very ably chaired the May 1986 statewide meeting.

Thanks are due to the individuals – and the institutions from which they came – who attended the four preservation administration workshops in 1984-85; to the expert faculty members for those workshops; to the leaders and host institutions for the four regional conferences in 1985; to the discussion group leaders and reporters at the 1986 statewide conference; and to the several advisory groups and numerous individuals who took the time to review various drafts of this report and give us their suggestions – and concerns – so that the final project would be as useful as possible.

A much smaller number of individuals carried out the bread and butter work vital to this project. Peter Paulson, former director of the New York State Library, served as project co-director during its initial two years. James Corsaro of the State Library provided day-to-day assistance during this period. Later, Connie Brooks, who was appointed in 1985 to direct the State Library's new Conservation/Preservation Program, participated in all aspects of planning and preparation for the conference, including revisions of *Our Memory at Risk*. Bruce Dearstyne, Principal Archivist for External Programs in the State Archives, played an especially important role, particularly in major redrafting of the report, both before and after the statewide conference, and in guiding design and publication of the printed report. Many other staff of the State Archives and State Library, at all levels, assisted at one or more times in the support work required for successful workshops, discussion meetings, and distribution of materials. Joseph F. Shubert, Assistant Commissioner for Libraries, was supportive throughout.

Greatest credit of all is due to Christine Ward, preservation administrator for the State Archives, who carried the heaviest burden during the course of the project. Chris provided the central coordination for the workshops, for meetings of the Document Conservation Advisory Council itself, for arrangements for the regional discussions and the statewide meeting, for budgeting and reporting. She assembled the photographs for the final report, prepared several of the appendices, and was a contributor to all other sections as well. Without Christine Ward, this project would not have proceeded so smoothly – or perhaps at all.

On behalf of the New York Document Conservation Advisory Council, and the citizens of New York, our thanks to all of you.

Roberta Cade, Director, Library Development

Larry J. Hackman, State Archivist

Executive Summary

New York's unique research resources are at risk – at risk of not being adequately identified and retained, at risk of deteriorating through poor storage conditions, and at risk of literally wearing out through natural deterioration and use. These materials – historical records and unique printed material such as rare books, pamphlets, serials, and newspapers – are essential for a variety of important research uses of far-ranging significance to society. Prolonging the life of these valuable yet vulnerable materials, at least ensuring the survival of the information they hold, is the goal of *Our Memory at Risk*.

This report is the culmination of the three-year "New York Document Conservation Administration Training and Planning Project" described in Appendix I. *Our Memory at Risk* was produced after consultation with program managers who participated in the project's preservation administration workshops, through questionnaires to their repositories, through four regional conferences that discussed preservation issues, through consultation with experts in the preservation field, and through circulation and review of several drafts of this report. The final preliminary draft was discussed by more than 250 attendees at a statewide preservation conference in Albany in May 1986, described in Appendix III, and was revised again as a result of discussions at that meeting.

Because of the thorough process of its preparation, *Our Memory at Risk* represents a distillation of the best thinking about preservation issues in New York and what should be done about them.

Preservation of New York's historical records and other research resources ought to be – but is not now – a matter of urgent public concern. One of the objectives of this report is to inform the public and arouse that concern. Unique research materials constitute an extension of our collective human memory. They reflect the accumulated, and always expanding, wisdom and experience of our society. As such, they serve as a vast common memory bank to draw on to better understand the past and the present and to prepare for the future. Public officials and private researchers, including lawyers, policy analysts, historians, political scientists, sociologists, demographers, and others, study research collections for evidence of how society reached the present state of affairs. For instance, tax, court, prison, census, and other records contain rich information on how people lived and on social developments and problems. Early newspapers can provide diverse information on economic, political, and social life in New York's communities during their formative years.

Furthermore, unique research resources have practical uses with present-day implications for all of us. Institutions, including governments, use their archival records to study the origins of policies, to analyze program development, and to ensure continuity of administration. Public works personnel consult plans, maps, and sketches for information on the location, age, and structural characteristics of highways, bridges, water and sewer lines, and buildings, in their efforts to repair and preserve New York's aging infrastructure. Many records contain documentation of legal boundaries, inheritance rights, and other vital matters. And researchers are using a variety of source material for research of great consequence into environmental issues, urban problems and medical history. The results of their work will affect – and, we hope, improve – our lives.

Unfortunately, the physical condition of these invaluable resources puts the prospects for their future in doubt. New York has thousands of local governments that generate important records and thousands of libraries, historical societies, and other institutions that collect and preserve historical records and other research materials. But large numbers of collecting programs do not assure systematic collection and preservation. Although many libraries have policies that guide their collecting – at least for published materials – many repositories operate in isolation from each other, so collecting is neither coordinated nor comprehensive. This means that many materials that ought to be saved are simply lost because no one collects them. Many libraries and other repositories lack the funds, people, space, equipment, supplies, and other necessities to take adequate care of their holdings. Preservation needs are, for the most part, poorly understood and inadequately addressed. Closely related to the shortage of resources is the problem of substandard storage conditions which can create or aggravate a variety of problems: mold growth in warm and humid environments; brittleness from hot and dry conditions; weaken-

ing of fibers caused by temperature and humidity fluctuations and pollutant contamination; fading from exposure to ultraviolet and visual light sources; and damage caused by storage in acidic folders or cartons.

Perhaps most alarming of all is the inherent weakness of the medium which has been used to capture and retain most of the information of our civilization: paper. Paper, so familiar to us as the way we record our thoughts and actions every day, is an organic substance which is subject to rapid disintegration. Highly acidic paper of the type manufactured and used widely during the past century becomes brittle and deteriorates at a particularly rapid rate. The simple fact of this type of paper's instability leads to some staggering conclusions: most research materials will eventually disappear, many within our own lifetime, unless significant action is taken to ensure their preservation.

The situation is alarming, and a well-coordinated, long-term, statewide offensive is needed to meet this preservation crisis. The effort needs to proceed from the awareness that preservation of research resources is clearly in the public interest and that it merits public attention and support. Concerned professional associations must learn more about preservation problems and advocate strong programs to meet them. The State government, and particularly the cultural units of the State Education Department, have an obligation to take the initiative and lead the effort. Only State government can address so pervasive a statewide problem, and the State is the appropriate lead agent to facilitate the preservation of the people's historical and documentary heritage. But the State cannot and should not be expected to meet the challenge alone. Institutions that hold and administer research resources must acknowledge their preservation responsibilities and must make preservation a central part of their management efforts. Preservation in New York must be developed as a creative partnership among government, institutions that hold research resources, researchers and other "users" who have direct need for these materials, concerned citizens and their organizations and associations who benefit from preservation and use of New York's resourses.

Our Memory at Risk advances three dozen recommendations to confront the challenge of preserving our research resources. Improved public awareness is a key factor. To achieve and sustain this awareness, more and better informational materials are needed on the importance, condition, and uses of archival records and other unique research materials. Another fundamental need is improved identification and procedures for systematic selection of unique research resources. The initial inventory of New York's historical records should be completed and an ongoing database developed of information on existing holdings and repository collecting policies. Comprehensive records retention and disposition schedules need to be developed for State and local government records. In addition, regional and subject-based documentation plans should be developed to guide selection and preservation efforts. These steps would sharpen the process of identifying our most valuable resources.

More and better professional development opportunities are critically needed in both preservation administration and in preservation techniques. This would make more readily available people with the preservation skills that repositories require to meet their preservation problems.

The State must provide significant assistance and support. A regionally based records and archives technical assistance and program development system, which has been under consideration by the Legislature, is urgently needed to support improved administration of these collections. Regional advisory services should address preservation of unique research resources as well as other aspects of program development. The preservation grant program administered by the Division of Library Development should be expanded. A grant-in-aid program should be initiated now for improving the administration of local government archival records. Within the near future, State grant funding should also be made available to assist historical records repositories in the development and operation of cooperative documentation strategies and in the overall strengthening of their programs.

Reliable quality standards should be developed for paper and other media used to create State and local government records and other research resources with long-term value.

Individual institutions need to carry out self-studies to assess their own needs, to establish priorities, and to begin to attack preservation needs in a systematic fashion. As a sensible precaution, these institutions need to develop disaster preparedness and response plans to guard against natural and man-made disasters that can threaten quick extinction of their holdings.

Some items of concern to New York belong on a national preservation agenda. These include research into preservation materials and methods, the development of standards for creation, duplication, and preservation of unique research materials, and national public education efforts.

The agenda is a full one that should absorb the attention of government agencies, individual repositories, and concerned citizens and their organizations for some years to come. There are several priority recommendations that can and must be initiated immediately. These actions will indicate a commitment on the part of the citizens, cultural institutions and governments of New York to begin the process of carrying out the agenda outlined on the following pages. Their implementation will provide a

solid basis upon which the structure of a comprehensive statewide program will be secured and raised.

The Education Department's Office of Cultural Education must develop and advance detailed proposals to respond to the recommendations outlined in this report as soon as possible. The Governor, Division of the Budget, and Legislature need to lend support through initiation of the proposed regionally based advisory service system to serve historical records repositories. Each repository in the State should, as soon as possible, carry out a self-study to analyze its preservation needs and to begin using the results to mount a systematic in-house preservation effort. Concerned library, archival, historical, civic, and social organizations should begin to bring preservation issues to the attention of the media and of citizens in general. Individually and collectively – we must act now!

List of Issues and Recommendations for Statewide Action and Priorities for Immediate Action

(Note: The full discussion of issues and recommendations appears on pages 33 through 41.)

ISSUE 1: THE IDENTIFICATION AND SELECTION OF UNIQUE RESEARCH RESOURCES IN NEW YORK

Recommendation 1.1
Complete the initial Historical Documents Inventory project, maintain an automated statewide database for historical records collections and repository acquisition policies, and provide for updating the system.

Recommendation 1.2
Encourage the rapid development of a machine-readable database of research library collecting policies and unique library research holdings not eligible for survey by the Historical Documents Inventory.

Recommendation 1.3
Complete and maintain current records retention and disposition schedules for all types of local governments in New York, designating those records that contain information of enduring value to the government and people of New York.

Recommendation 1.4
Complete and maintain current retention and disposition schedules for all State government records, designating those in all three branches of government that contain information of enduring value to the government and people of New York.

Recommendation 1.5
Cooperatively draft and test regional and statewide "documentation strategies" to identify the types of records that are not being adequately retained or collected, and to guide efforts to do so effectively and efficiently.

Recommendation 1.6
Cooperatively draft and disseminate regional and statewide guidelines for establishing priorities for preservation treatment for those unique research resources identified as having enduring value to the people of New York.

ISSUE 2: EDUCATION AND TRAINING

Recommendation 2.1
Provide regular workshops and seminars to teach preservation planning, management and methods to staff of libraries and historical records repositories throughout the State.

Recommendation 2.2
Provide regular workshops and seminars throughout the State in basic archival and records administration techniques.

Recommendation 2.3
Plan and provide sufficient and accessible advanced degree programs and special in-service institutes and courses in conservation and in preservation administration of library research collections and archival materials.

ISSUE 3: PRESERVATION STANDARDS, GUIDELINES, AND INFORMATION SERVICES

Recommendation 3.1
Adopt, disseminate and use: (1) quality standards or guidelines for paper and other media used to create State government records of enduring value to the government and people of New York; and (2) standards or guidelines for the proper administration of such records to ensure the survival of the information they contain.

Recommendation 3.2
Adopt, disseminate, and use: (1) quality standards or guidelines for paper and other media used to create local government records of enduring value to the local government, State government and people of New York; and (2) standards or guidelines for the proper administration of such records to ensure the survival of the information they contain.

Recommendation 3.3
Adopt, disseminate, and use standards and guidelines for the storage (including environmental conditions) and handling of research resources administered by State and local governments and by libraries, historical societies, museums and other historical records repositories chartered by the Board of Regents.

Recommendation 3.4
Create a statewide preservation information center and a

network of regional preservation information and technical assistance personnel to acquire and make available information about conservation and preservation standards, guidelines, techniques, plans, services, supplies, publications and other resources.

ISSUE 4: DISASTER PREPAREDNESS AND ASSISTANCE

Recommendation 4.1
Draft and promulgate State guidelines for preparation of a disaster plan by local governments and by libraries, historical societies, museums and other chartered institutions holding unique research resources.

Recommendation 4.2
Designate and assist at least one institution in each Reference and Research Library Resources System region to provide emergency assistance to other agencies and repositories in the event of a disaster, and provide State support for such assistance.

Recommendation 4.3
Develop and maintain regional disaster preparedness plans.

Recommendation 4.4
Prepare a disaster preparedness plan for the State Library and the State Archives and a disaster plan for other records and research materials in Albany that are essential to the continued operation of the State government.

ISSUE 5: LOCAL AND STATEWIDE PUBLIC AWARENESS

Recommendation 5.1
Produce and distribute informational materials on the importance, conditions and uses of archival records and unique research materials with suggestions for citizen involvement to improve these conditions at the local, regional, and state levels.

Recommendation 5.2
Hold a series of regional legislative hearings during the period of the Bicentennial of the Constitution (1987-89) on the condition, importance and uses of New York's archival records and other unique research materials.

ISSUE 6: INVESTIGATION OF PRESERVATION SERVICE NEEDS AND OPTIONS

Recommendation 6.1
Undertake a series of studies to consider statewide and regional needs and program options for preservation services that cannot be provided adequately by individual libraries, governments, and historical records repositories.

Recommendation 6.2
Prepare by 1990, for adoption by the Board of Regents, a formal long-range plan for statewide and regional preservation and conservation services, including the operational and support services to be provided by State government.

ISSUE 7: STATE FINANCIAL AND TECHNICAL ASSISTANCE

Recommendation 7.1
Expand staff and contractual funds for the conservation/preservation program in the Division of Library Development to be used for investigation, evaluation, informational and advisory, and training services specified in recommendations above.

Recommendation 7.2
Develop a regional records and archives technical assistance and program development system to improve the management of local government records and the identification, retention, selection, and administration of historical records in all types of repositories.

Recommendation 7.3
Expand the grant program for the Conservation/Preservation of Library Research Materials.

Recommendation 7.4
Establish a program of financial assistance to local governments in the management of their records, especially those records which they are mandated by State government to retain because they are vital to the continuity of government, have long-range legal, administrative or research value, or are important to the conduct of State government.

Recommendation 7.5
Develop a State grant-in-aid program by 1990 to assist historical records repositories in the identification, archival appraisal, retention or collection, and arrangement and description for use, of records of enduring legal, administrative or research value emphasizing development of cooperative documentation strategies and collecting programs and shared use of facilities and expertise.

Recommendation 7.6
Support the preservation of the archival records of State government in the State Archives adequate to ensure the survival of information of enduring value to the government and people of New York.

Recommendation 7.7
Support the preservation of research materials held in the New York State Library which are the basis for service to the Legislature, government, independent scholars, the State's larger research community, and the statewide interlibrary loan network which serves academic, business and industrial researchers in both the private and public sectors.

Recommendation 7.8
Promote and assist the development of regional or countywide storage and service facilities for inactive records and for archival records administered by local governments and also for microfilm or other copies of such records.

ISSUE 8: NATIONAL COOPERATION AND SUPPORT

Recommendation 8.1
Develop a national agenda and priorities for leadership and for action by Federal agencies and nongovernment national organizations with responsibilities for preservation of unique research resources. The agenda should cover development of programs and technical standards for the creation, duplication, storage, handling and conservation of historical records and other unique research resource materials.

Recommendation 8.2
Increase funding for the National Endowment for the Humanities and the National Historical Publications and Records Commission to support essential research and coordinated preservation program development.

Recommendation 8.3
Develop an active partnership between the newly independent National Archives and Records Administration and archivists and records administrators in State and local governments, particularly in evaluating and selecting records created at the State and local levels through Federal programs or requirements and records of related functions at the national, State and local levels.

Recommendation 8.4
Produce educational and public information materials on the public benefits of the preservation and use of historical records and other unique research materials and on the overall condition of these materials in the United States.

ISSUE 9: ONGOING PRESERVATION EVALUATION AND PLANNING

Recommendation 9.1
Prepare and disseminate periodic statistical profiles of conservation/preservation conditions and needs in institutions and agencies that administer New York's unique research resources.

Recommendation 9.2
Develop guidelines and suggestions for a preservation self-study by each New York repository of historical records and unique library research materials, including local governments.

Recommendation 9.3
Conduct a formal statewide assessment of preservation conditions, needs, and progress every five years, including a published report and recommendations and an independent evaluation of the statewide and regional preservation programs and policies administered by the State Education Department.

Priorities for Action

(Note: The full discussion of priorities for action appears on pages 42 through 43.)

1. The Office of Cultural Education should develop and make available forms and instructions for institutional self-studies and surveys; every repository that holds research resources should carry out an institutional self-study and survey.

2. The Office of Cultural Education should use the present report as the basis for more detailed planning and to develop specific proposals for implementation of the report.

3. The Board of Regents, Division of the Budget, and the Legislature should provide for the initiation of the regionally based system for improved management of local government records and of historical records repositories.

4. The Board of Regents, Division of the Budget, and the Legislature should provide for the initiation of a State grant-in-aid program for the improved administration of local government archival records and records vital to the continuing operation of local governments.

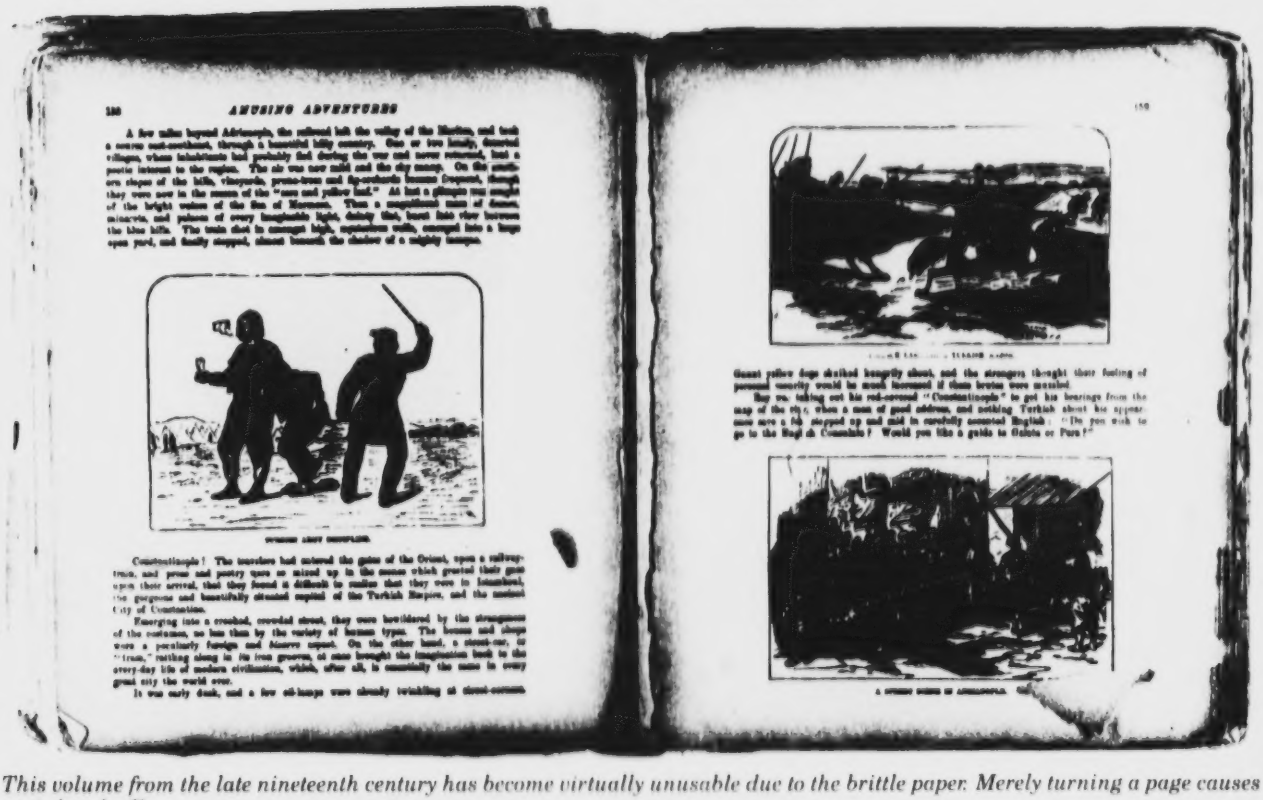
5. Concerned professional associations throughout the State should act vigorously to inform the public about preservation problems and the need for programs to deal with these problems.

New York's unique research resources are at risk – at risk of loss because they are not being adequately identified and retained, at risk of destruction because of poor storage conditions and improper use, and at risk of deterioration through chemical decomposition of the material itself.

Most modern paper is made from wood-pulp and may contain high amounts of acids. Long bonded fibers of cellulose give the paper strength. Over time, however, acids destroy the bonds between cellulose molecules, causing the fibers to break down. The paper becomes brittle, yellowed and weak (illustrations 1 and 2).

From Wilfred Cote, *Papermaking Fibers: A Photomicrographic Atlas*, Syracuse, N.Y.: Syracuse University Press, 1980, p. xxxvi. By permission of the publisher.

1. Surface and cross section of a sheet of paper magnified to show its long bonded fibers.

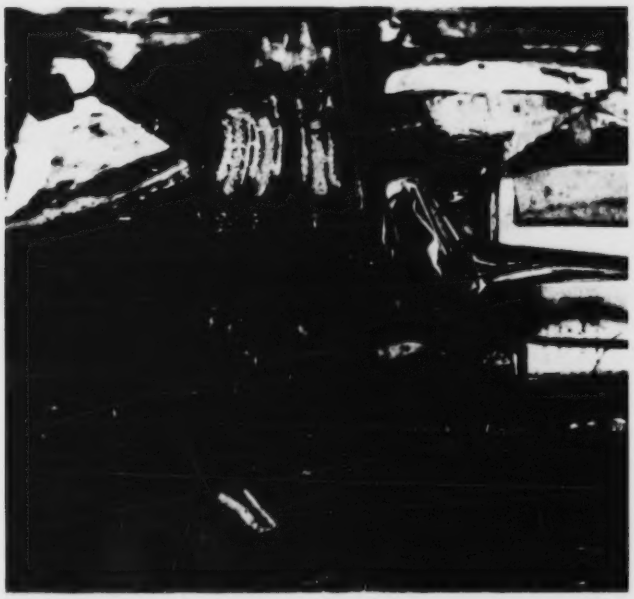


2. This volume from the late nineteenth century has become virtually unusable due to the brittle paper. Merely turning a page causes pieces to break off.

Survival and accessibility of historical materials may be at risk when collection policies are unclear and records management is inadequate. Under such circumstances, important primary sources may be impossible to find and effectively lost (illustration 3).

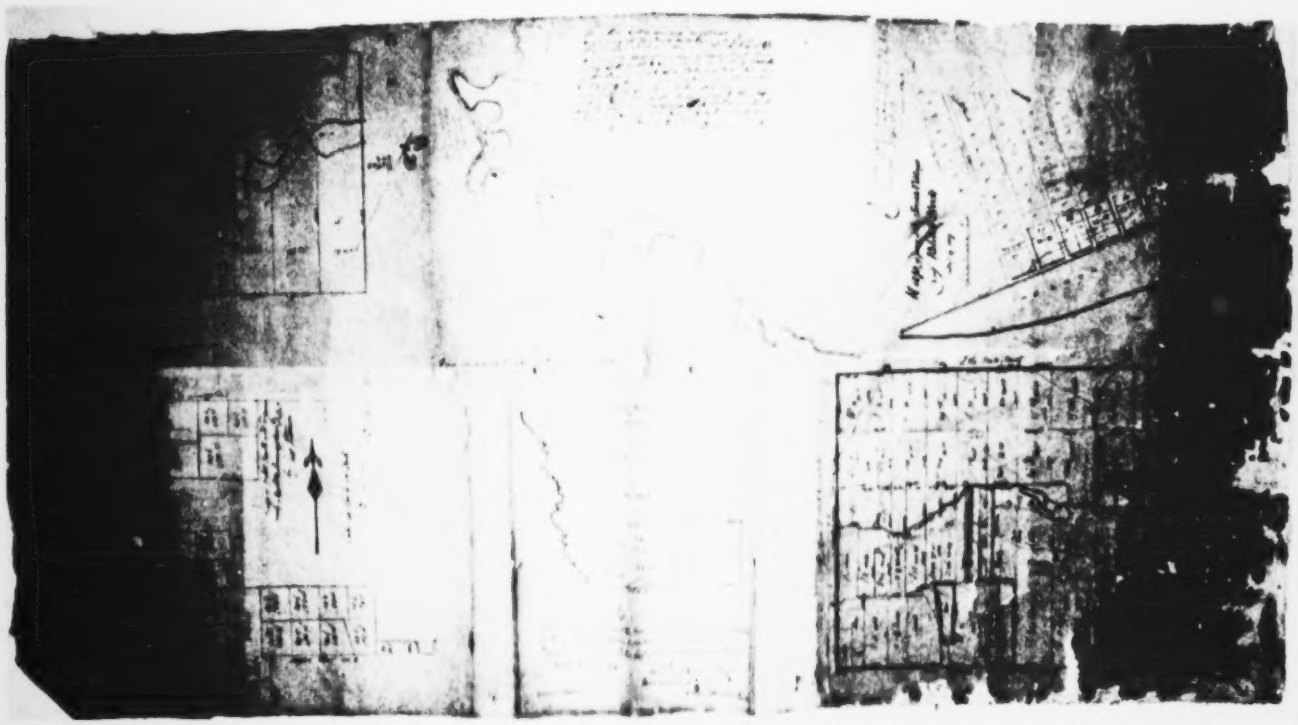
3. Engineering drawings in a city engineer's office. Overcrowded storage conditions and disorganized records are common in many local and state government agencies in New York.

Inadequate storage and environmental conditions contribute to the destruction of books and records. Damp conditions encourage mold growth, the effects of which can be irreversible. Fungi attack and digest cellulose material, making the paper pulpy and weak. Stable environments can contribute to the preservation of original research materials (illustration 4).



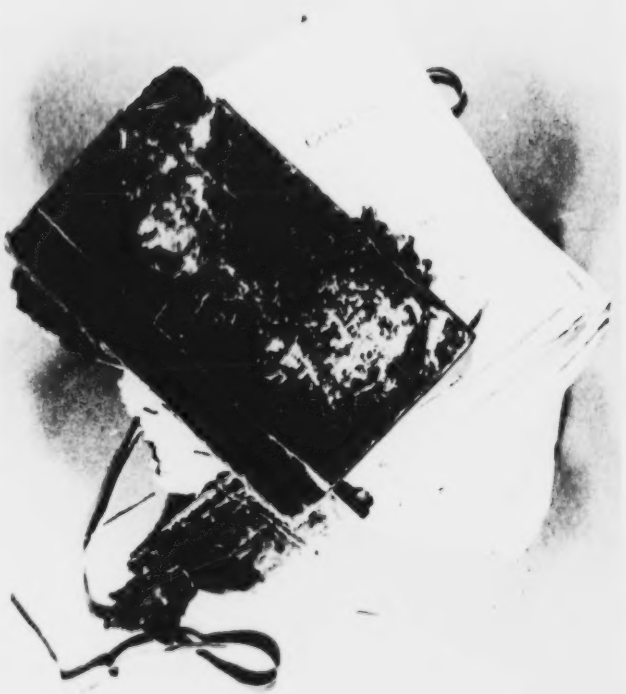
4. Nineteenth and early twentieth century account books and receipts, stored for many years in a basement of a village office building. Unchecked mold growth has virtually destroyed the records.

Many of New York's unique research resources are literally falling apart. Improper storage and handling and well meaning but destructive treatments (such as the use of pressure-sensitive tape) can cause damage and loss of information. Since most modern records, books and newspapers are produced on highly acidic paper that degrades rapidly, much of the research material generated over the last century is now, or will soon become, unusable. Preservation of the information in records, books and newspapers that have reached a state of extreme fragility is often best accomplished through microfilming (illustrations 5, 6 and 7).



5. This early nineteenth century map of the Village of Black Rock, now part of Buffalo, is from the records of the Surveyor-General of New York State. Like many other original maps, this one is frequently consulted. Each use aggravates existing damage and contributes to total loss.

6. There are few surviving copies of The Lily, an early feminist newspaper published by Amelia Bloomer at Seneca Falls, New York from 1849-1854. Newspapers, generally published on poor quality paper, are subject to loss through chemical degradation.



7. The condition of this copy of The Life and Letters of Roscoe Conkling, published in 1889, is typical of the condition of much material published in the late 19th and early 20th centuries.

8. In March 1911, a fire raged through the northwest tower of the State Capitol building destroying the New York State Library. A major research collection, including many historical records of the colonial and early statehood period, were lost.

9. A 1776 document from the records of the New York Provincial Congress that survived the Capitol fire of 1911. Many of these damaged documents still await preservation treatment at the State Archives.

Sudden disaster, such as fire, can destroy important segments of our recorded memory. Water and smoke damage are additional problems for the materials that survive. Other natural or manmade disasters – floods, roof or pipe leaks, or a window inadvertently left open in a storm – can also damage library and archival materials. A plan for quick recovery in the event of a crisis is critical to successful salvage after a disaster (illustrations 8, 9 and 10).

10. Volunteers survey damage to records after an explosion and fire at the Altamont, New York village hall in July 1985.

OUR MEMORY AT RISK

Our Vanishing Past

New York's unique research resources are at risk – at risk of not being adequately identified and retained, at risk of deteriorating through poor storage conditions, and at risk of literally wearing out through natural deterioration and use. "Unique research resources", as used in this report, include materials in two broad categories. The first is unpublished historical records – those that contain information about the past that is so significant it is worthy of long-term preservation and systematic management for future research. The second broad category is highly significant and rare printed materials which may be in the form of books, a collection of books, pamphlets or serials, or newspapers. The essential trait of these materials is that they contain important, usually irreplaceable, information that is valuable for future research and action. These materials document our collective past as a people and reflect our accomplishments as a civilization. Many are fertile ground for research in disciplines such as science, law, medicine, economics, literature, and ethnography. These materials are a resource of immense importance for research into our past. They are also invaluable for helping us understand the present and chart a safe course into the future.

Our unique research resources are valuable – but also vulnerable to time and to use. They are vanishing even as you, the reader, turn the pages of this report. The report itself, though not unique, is slowly degrading, symbolizing in a small way what is happening to New York's unique research resources. In many cases, it is already too late; information that is on paper so weak and brittle that it cannot be handled will soon disintegrate. Perhaps as tragic is the fact that we cannot use what we cannot find. Information buried in uncataloged chaos is effectively beyond our grasp. If we do not act soon, large portions of our State's historical records and unique printed materials will be lost forever. The problem is one that all New Yorkers, our State and local governments, our libraries and historical records repositories, and researchers and beneficiaries of research, must confront before it's too late and our collective "memory" is no more.

Research Resources and the Needs of Society

Why preserve the record of the past? What *stake* has so-

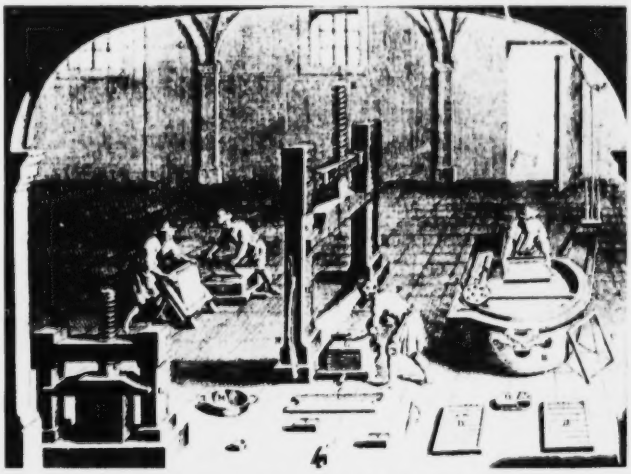
11 & 12. Records from the administrations of Governors Al Smith (left) and Mario Cuomo (right). The Smith files, from 1919-1920, are practically unusable. To avoid losing information in the Cuomo Executive Chamber Files, many of them are now being microfilmed according to strict archival standards by the New York State Archives.

ciety in preserving New York's unique research resources? The answer is that there are fundamental social needs that can be met only through preservation and use of these materials. The historical records and other materials we attempt to preserve are, in effect, extensions of human memory. They were deliberately created by individuals, groups, governments, and private institutions. Their creation was intended to capture information, to document transactions, to provide evidence of events and developments, to communicate thoughts, and, in some cases, to convey dreams and aspirations. Their creation sprang from a fundamental human need to record and keep track of information.

Even before humans wrote, their desire to preserve the past was evident in oral traditions carefully passed from one generation to the next. Writing made it possible to fix and retain much more information, to share it with many more people, and to pass it down through time. The development of paper and, centuries later, the invention of moveable type opened up worlds of information to growing masses of people. With each expansion of human activity came more knowledge, more documentary evidence, and an expanding collective memory.

Unfortunately, as the production and use of paper expanded, its durability declined. Paper is an organic substance that is subject to natural deterioration with the passage of time. Wood-pulp paper, used extensively since the mid-nineteenth century, deteriorates at an alarming rate. Moreover, the growing accumulation of information has made it increasingly difficult to identify and preserve what is truly valuable and of lasting significance. But the value of the unique research resources to society also continues to grow, and their preservation and accessibility have become the central mission of an increasing number of library, archival, historical, and other institutions.

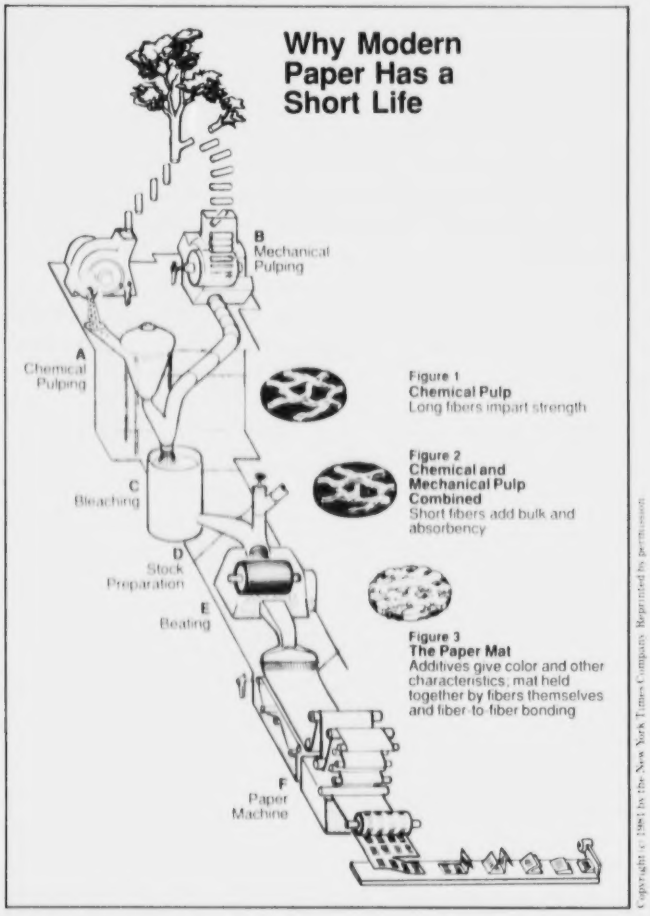
Why do these institutions collect and preserve unique research resources? The answer is that these materials



13. An eighteenth century paper-making shop. For many years paper was made from cotton and linen rags in shops like this. Rag paper is extremely durable and therefore much of the surviving printed and manuscript material produced prior to 1850 is in relatively good condition.

embody and reflect the accumulated wisdom and experience of our civilization. Without them, we could draw only on our own individual memories and on contempo-

14. An eighteenth century printing shop. The invention of moveable type made knowledge more easily available and began an ever-increasing demand for paper to be used in the printing process.


Why Modern Paper Has a Short Life
A Chemical Pulping
B Mechanical Pulping
C Bleaching
D Stock Preparation
E Beating
F Paper Machine
Figure 1
Chemical Pulp
Long fibers impart strength
Figure 2
Chemical and Mechanical Pulp Combined
Short fibers add bulk and absorbency
Figure 3
The Paper Mat
Additives give color and other characteristics; mat held together by fibers themselves and fiber-to-fiber bonding

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15. The demand for greater quantities of paper during the 19th century necessitated a change in production methods and raw materials used to manufacture the product. The illustration above indicates the steps used in the process of modern papermaking.

rary and immediate evidence to understand social institutions, to achieve insight into the human condition, to comprehend human behavior, and to solve problems. Society simply could not survive and function effectively under such a handicap. We need to draw on the guidance of the past. Historical records and other unique research resources are informational gold mines that are suited to this need. Individual citizens may mine them directly for information and insights. But more significant is their use by researchers who draw on and analyze these materials, weigh the information and evidence they present, reflect on it, organize it, and present it in published or other form for consideration and use by others. These research products, the interpreted and summarized distillation of the research resources, provide insights and guidance that are necessary to understand the present and cope with the future.

Public officials and private researchers, including lawyers, policy analysts, political scientists, sociologists, geographers, demographers, ethnic researchers, and historians study research collections for evidence of how things work and how they reached the present state of affairs. Historical scholars, in particular, often find it essential to look past previous interpretations and focus directly on firsthand evidence of events to achieve a true reckoning of what actually happened.

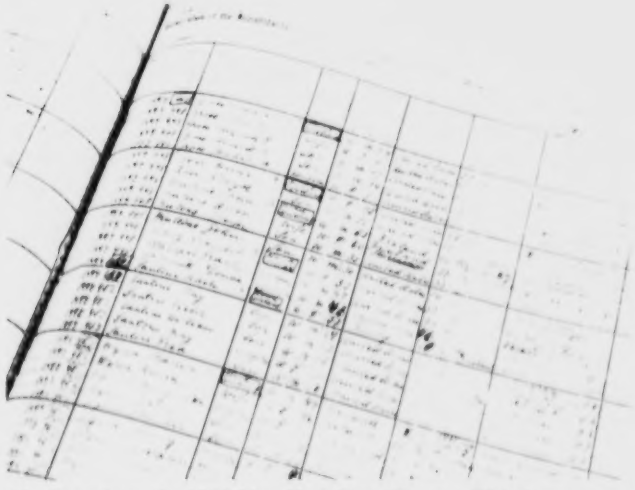
Research Resources: Insights From the Past

Researchers often use these unique resources for purposes their creators would never have envisioned. Sir William Johnson, Great Britain's colonial agent in pre-Revolutionary New York, sent his superiors in London reports of Indian tribal activities, crop successes and failures, and reactions to British Indian policies. The reports were intended to update the London authorities and describe Johnson's work on their behalf. These same accounts, however, have now been used by specialists in Indian history to show how the Indians lived, how the infant American community grew, how it faced the challenges of a wild environment, and how two different civilizations met, interacted, and clashed.

New York local government officials created tax, land, court, prison, census, voting, and other records. The purpose of their creation was to facilitate day-to-day governmental administration. But now these records are often the only source of information on the common people who themselves created or left behind little in the way of direct personal documentation of their lives. Such records are valued by social and community historians, demographers, family historians, and genealogists. Often, these researchers use computers to analyze and summarize the data extracted from massive and diverse local government records. This combination of documentary resources, energetic researchers, and modern information

technology is producing a growing body of literature on how our ancestors lived, worked, and governed themselves.

Motion picture film scripts and censorship records from the New York State Education Department's former Motion Picture Division are other examples of primary research sources now used for purposes vastly different from the concerns of their creators. Film censors carefully read every film script and viewed every film proposed for showing in this State from the World War I period through the mid-1960's. Their legally mandated responsibility was to protect the morals of New York's citizens. But



16. Page from the 1925 New York State Census. This is an example of historical records that have practical, immediate importance for many New Yorkers. Evidence from a certified search of the State Census is accepted by Federal and State government in lieu of a birth certificate to establish proof of eligibility for social security benefits and for other purposes. The Census records are also heavily used by genealogists and family history researchers and they are a rich source for community and social history.

as a result of their activity, a huge file of filmscripts (in some cases, the last known remaining copies) and a body of material on changing social mores, tastes, and governmental regulatory responsibility, are now preserved in the State Archives.

Newspapers provide a rich diversity of information on life in the past. They carry news on the economic, political, and social lives of our communities. Their coverage of State and national events shows how broader historical developments appeared and were interpreted at the local level. Their editorials provide insight into local views on controversial issues of the period. Newspapers contain job advertisements which indicate the types of employment that were available and the wages that were paid. They carry local merchants' ads which indicate the range of commodities available and the prices that were charged. In many cases, though there were once hundreds or even thousands of copies of a community's newspaper, few—often only one—now survive, making preservation an urgent matter.

THE PILOT.

NEW GOODS.

DRY GOODS, GROCERIES, Hard-Ware, Crockery and Glass-Ware,

J. N. M. HURD,

COTTON YARN, FACTORY CLOTHS,

J. D. SWIFT,

Watch and Clock

Gold and Silver

Watch Trimmings,

A Bargain.

Co-Partnership.

Noah H. Coleman

PAINTS,

Noah H. Coleman,

17. Social historians find clues to everyday life through news stories, editorials and even advertisements in newspapers.

Research Resources: Practical Help In the Present

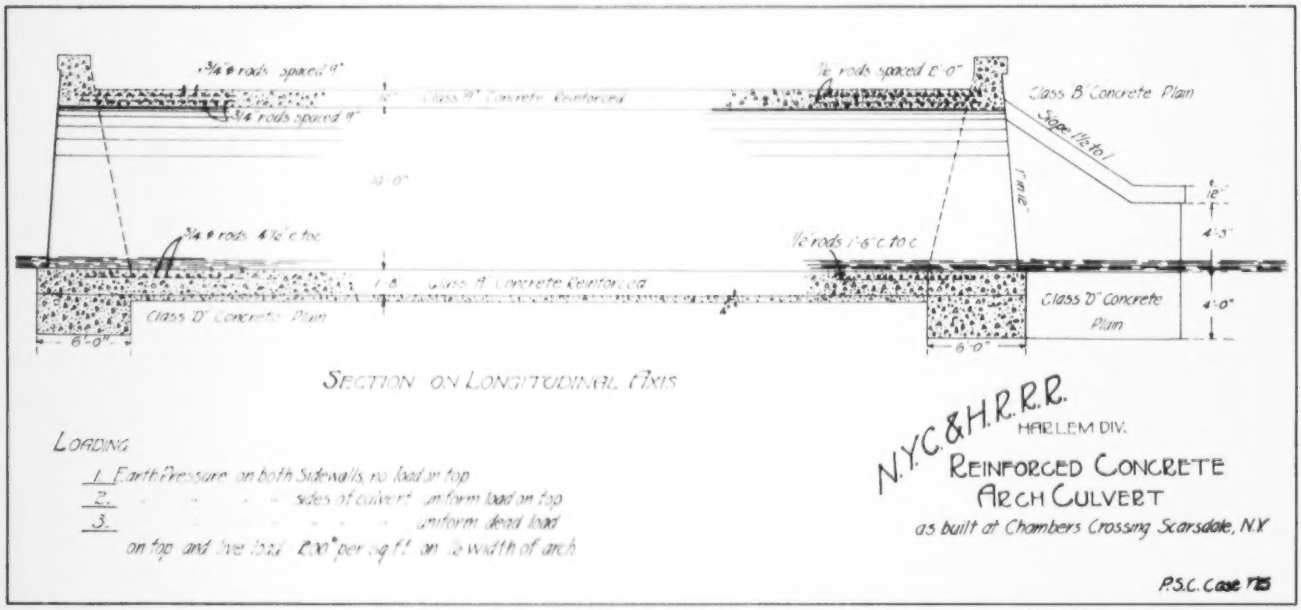
Unique research resources also have practical uses with present day implications for all of us. For instance, institutions and organizations, including State and local governments, use their own archival records to study the origins of policy and early program decisions, to analyze program development, and to ensure continuity of administration. Through this ready access to their own past, organizations are able to achieve a perspective on their progress and to compensate for personnel turnover, which otherwise could lead to repeated changes in program direction and to policy discontinuity. Government records documenting legislative intent are essential in legal

cases that turn on the interpretation of statutes or test their constitutionality. Court records assist attorneys and judges dealing with similar cases and help legal scholars chart long-term judicial trends. Maps, deeds, and patents may contain the only information available to determine legal ownership and boundaries of land.

Deterioration of our highways, streets, bridges, and sewer and water lines plague communities throughout the State. Government engineers and public works personnel consult early plans, maps, sketches, and reports for information on the location, age, and physical characteristics of these structures. Building owners, engineers, and architects use local building files, original blueprints, engineering drawings, and old photographs to plan renovation or restoration of buildings, including our State Capitol itself. The materials may show the original appearance of the building, the nature of the original building materials, and changes to the structure over the years.

Medical researchers study patient records to understand genetic and familial diseases that are transmitted from generation to generation or that are prevalent within geographical regions. Some medical investigations draw on a broad array of historical resources. For instance, medical researchers studying the hereditary nervous disorder called Huntington's chorea examined doctors' records on Long Island and then traced the disease back to England, the ancestral home of many of its victims. Since the disease had not been recognized as an illness there, the search branched out from medical records into genealogies, parish registers, accounts of witchcraft and many judicial and community records. Similar present day investigations are drawing on research resources for insights into Tay-Sachs disease, an affliction that cripples babies, and into sickle-cell anemia.

More and more New York elementary and secondary


Class B Concrete Plain
Slope 1½ to 1
Class A Concrete Reinforced
Class D Concrete Plain
Class D Concrete Plain
SECTION ON LONGITUDINAL AXIS
LOADING
1. Earth Pressure on both Sidewalls, no load on top
2. " " " sides of culvert uniform load on top
3. " " " uniform dead load
on top and live load 200° per sq ft on ½ width of arch
N.Y.C.&H.R.R.R.
HARLEM DIV.
REINFORCED CONCRETE
ARCH CULVERT
as built at Chambers Crossing Scarsdale, N.Y.
P.S.C. Case 715

18. Section of culvert built in Scarsdale, N.Y. from the records of the State Public Service Commission. The safe and accurate reconstruction of old structures often depends on the ability of public officials and contractors to locate and use original drawings.

19. Facsimiles of unique research materials can be effectively used to bring history and social studies alive for students. Here seventh grade students in East Greenbush, New York use information from copies of local government records to study social and economic development in their community in the 19th century.

Unique research resources are found in a variety of New York's cultural institutions – from large research libraries to small public libraries, from historical societies to corporate archives and local government offices. New York is rich in cultural institutions, but not all are able to fully care for the research materials they hold (illustrations 20 through 29).

20. Levittown Public Library, Levittown.

schools are using community historical records and other research materials in classes that focus on local history and government. This approach enables students to examine their community's past directly and to relate that past to the present. Students also learn to think for themselves by analyzing evidence that is sometimes inconclusive and contradictory. Students who begin using these research resources at a young age come to appreciate their importance and to develop creative ways to draw on them in later life.

Literary critics study the manuscripts of authors for insights into their personalities and the creative process. Sometimes books from their personal libraries bear marginalia showing how the works of other authors have influenced their own works. Often, use of this research information is invaluable for the interpretation of writers' published works.

The Condition of New York's Research Resources

New York's unique research materials are maintained in a variety of repositories, including libraries, archives, museums, historical societies, and local government offices. Some repositories are governmental; many others are private historical, educational, religious, business, or fraternal organizations. They include many small institutions such as community libraries and historical societies in towns and villages across the State. They also include some of the largest and most prominent research institutions in the nation with major specialized collections of national and even international importance. Their numbers are impressive. New York has over 1,600 cities, counties, towns, and villages, and thousands of li-

21. New York Public Library, New York.

braries, historical societies, and other institutions that actively collect and preserve historical records.

Among these collecting repositories, libraries represent the largest number. Libraries collect and maintain rare books, newspapers, photographs, maps, pamphlets, brochures, and broadsides, as well as archives and manuscript records. These libraries range from comprehensive research libraries to libraries with special collections to local libraries that serve as the principal repository for research material in their area. They include many libraries that are parts of other institutions such as museums. In many communities, the library is the primary source of both historical research information and information needed for research into contemporary issues. New York's thousands of libraries and other repositories are symbolic of the diversity and extent of the State's research resources and of New Yorkers' determination to preserve them. But almost all of these libraries and other repositories face serious problems in preserving the research resources that they hold.

One problem is knowing just what to collect and preserve from the mass of material that has been and still is being produced. There has been little in the way of sys-

Photo courtesy of the New York State Historical Association.

22. New York State Historical Association, Cooperstown

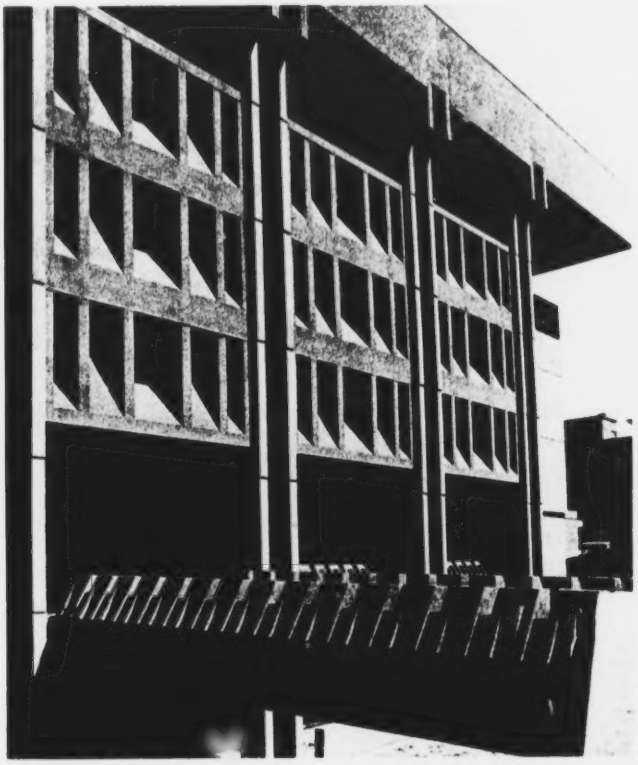


Photo by Jeffrey Radler

23. E. S. Bird Library, Syracuse University, Syracuse.

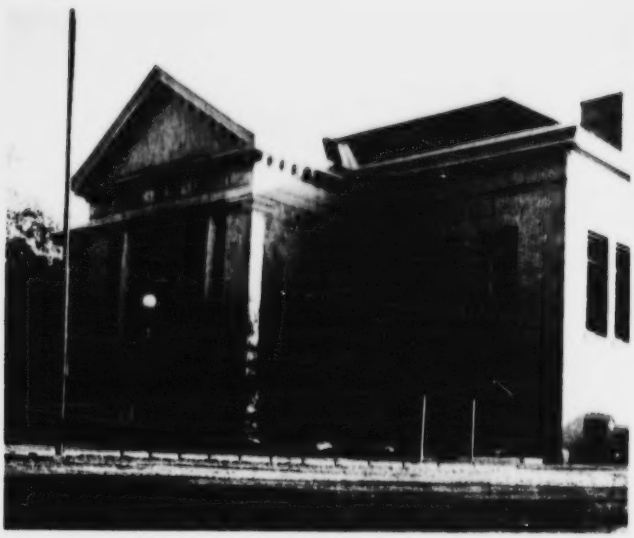
Photo courtesy of the Rockefeller Archive Center

24. Rockefeller Archive Center, Tarrytown.

25. Jefferson County Historical Society, Watertown.

26. Hempstead Public Library, Hempstead.

27. Rockland County Office Building, New City



28. Solvay Public Library, Solvay.

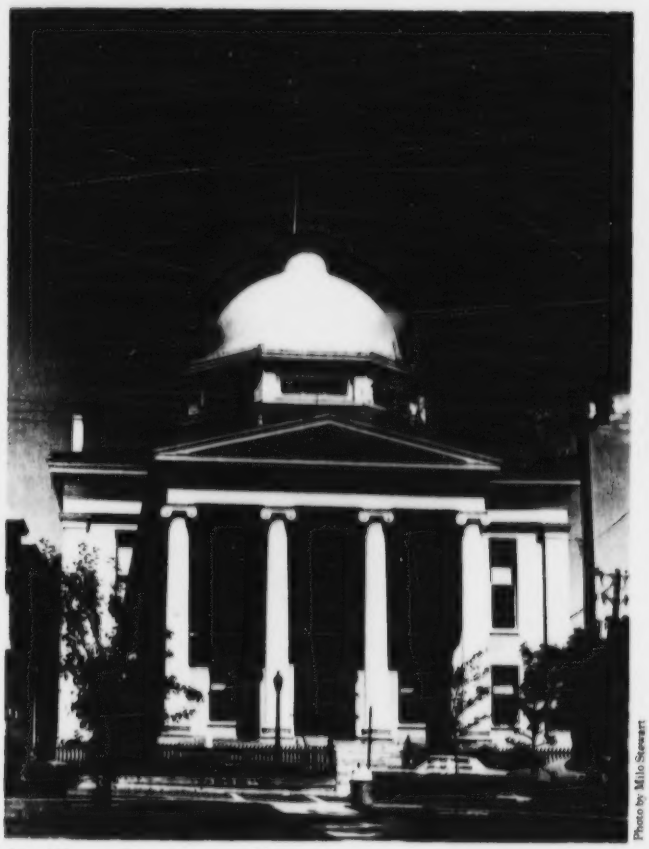


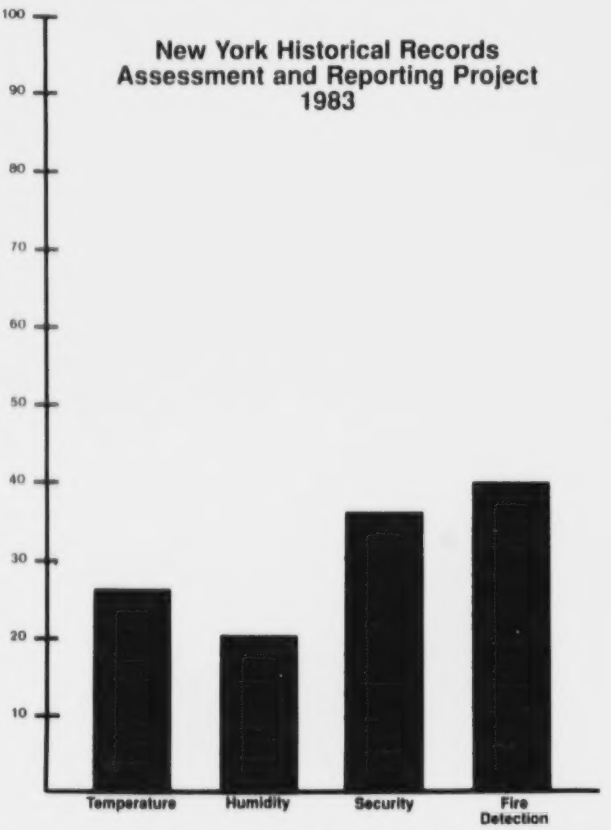
Photo by Milo Stewart

29. Wayne County Court House, Lyons.

tematic analysis of documentation needs that could provide a basis for coordinating collection efforts. With some notable exceptions, repositories too often operate as autonomous entities, collecting and preserving only what they think best to fulfill their mission and serve their users. While libraries are working more and more to cooperate on the cataloging and loaning of many published materials, often their unique materials cannot be easily shared. The independent approach of most repositories is understandable, springing from a New York tradition of local diversity and independence. But it has hampered systematic collecting in two ways. First, many repositories do not coordinate, or even communicate, well with each other on the acquisition of unique research materials. There are few examples of protocols, or even informal agreements, on areas of specialty, on cooperation in collecting, and on exchange of research materials that may have been collected by one repository but better fit the acquisition policy of another. As a result there is competition and overlap in some subject/collecting areas, while other areas are woefully underrepresented because no one attends to them. Second, individual repositories have generally not developed clear written acquisition statements for unique research materials. Because they lack such statements, their collecting efforts tend to be inconsistent and even haphazard, and their collections do not develop in a systematic way.

Another major problem is lack of adequate resources and facilities. New York's repositories simply lack the funds, people, space, equipment, supplies, and other necessities to take care of their unique holdings properly. Few have personnel who are trained in preservation planning or management or in conservation techniques. A 1983 survey of historical records repositories by the State Historical Records Advisory Board found that 70% have no written statement of authority and mission for their historical records programs and 60% allocate less than $1,000 annually in support of these programs. New York's libraries, historical societies, and other repositories face immense problems posed by the condition of the material they have already acquired. Some of this material may have been in an advanced state of deterioration when it was collected; often it was saved by the collecting institution from ultimate destruction. The material continues to deteriorate, however, simply because the institution is not able to address its preservation needs.

The 1983 survey cited above found that 42% of all historical records repositories do not perform any conservation activities and most have not even stored their records in acid-free containers. Many historical records repositories lack the resources to organize and arrange more than a small percentage of their material. Even more discouraging is the fact that many repositories do not have time to prepare guides or other finding aids for their holdings. The 1983 survey found that 40% of all holdings were not covered by any internal finding aids. As a result, researchers simply do not find out about the material. And the prospective problems are also daunting. The challenge of collecting and maintaining voluminous modern material, much of it on high-acid, poor quality paper, presents an immediate conservation problem—one that many repositories are not prepared to face.



30. In 1983, the New York State Historical Records Advisory Board surveyed historical records repositories across the state. Nearly half of the institutions responding reported that they carried out no preservation activities, yet 40% listed preservation as their greatest concern. The graph above indicates the percentage of institutions that reported having the basic systems necessary to provide for the long-term preservation of historical records. Over 70% of New York's repositories appear to lack adequate environmental control; over 60% are unable to provide proper security; and the collections of nearly 60% are vulnerable because they lack fire detection systems.

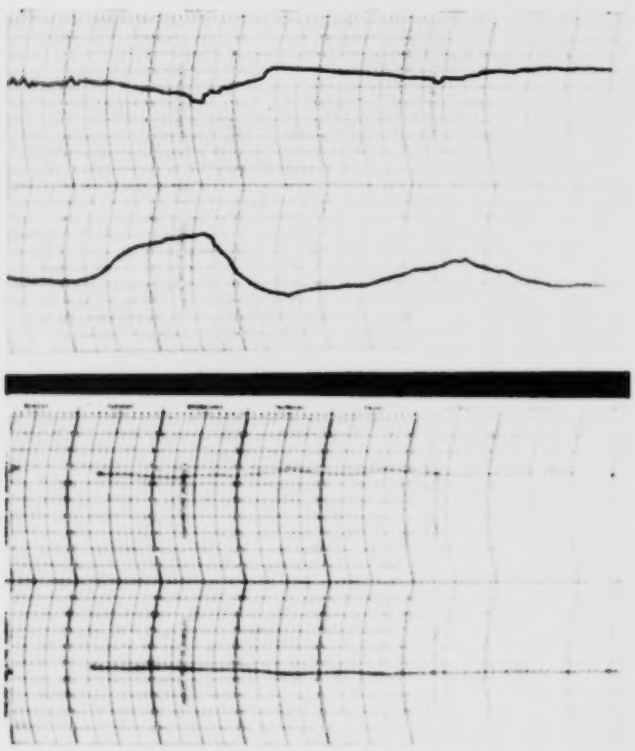
Closely related to the shortage of operating funds and other resources is the problem of substandard storage conditions. Few libraries or other repositories can provide acceptable storage conditions and an adequate level of security and protection for the unique books, documents, and other materials in their custody. Proper climate control, for instance, is crucial to the survival of research ma-

terials. High temperatures and relative humidity accelerate their decomposition and provide an environment for mold growth and insect infestation. High temperatures coupled with dry conditions, on the other hand, may

31 & 32. Improper storage is one of the major causes of loss of historical research materials.

encourage desiccation and brittleness. Fluctuations in temperature and humidity harm paper by causing its expansion and contraction, thus contributing to the eventual breaking of its cellulose chains and inevitable destruction. Gaseous pollutants such as sulfur dioxide react with moisture to form acid compounds that are destructive to paper. Particulate pollutants such as dust, dirt, and soot can soil and deface paper and can destroy film materials by scratching the surface images.

Proper storage is also crucial. Storage containers made of acid-free materials can guard against acid migration and protect historical records and other material from airborne pollutants and contaminants in storage areas. Research materials should be shielded as much as possible from light, particularly ultraviolet light, which is a catalyst in the degradation process. The storage facility itself needs to be secure, fireproof, and equipped with fire detection and suppression systems. Few repositories

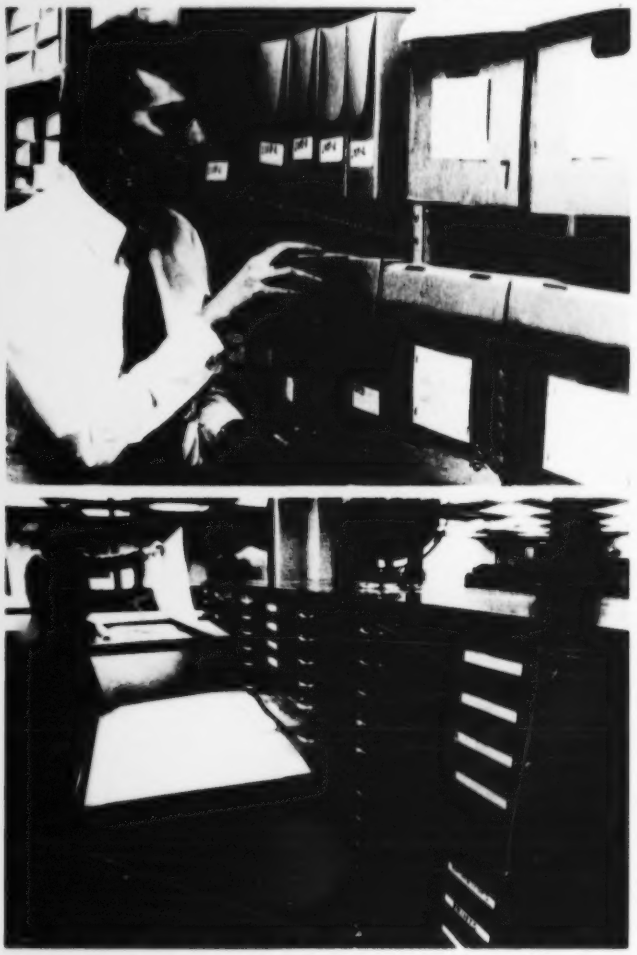


33. The graphs above, taken from a recording hygrothermograph indicate environmental readings in a research facility over a one week period. The top chart shows excessive fluctuations in temperature and humidity that can cause internal stresses that are harmful and destructive to both bound and unbound material. The lower chart shows close to ideal readings.

would claim to meet even minimum standards in all of these areas. New York's research materials are not safe in their own homes. To avoid the loss of these materials, substantial improvements in storage practices and facilities are needed. These changes, however, seem beyond the current financial and administrative capacities of most institutions.

Perhaps the most fundamental and pervasive problem of all is inherent in the physical weakness of the material itself. Our thoughts and our actions, despite their immense importance to the future of our society, are docu-

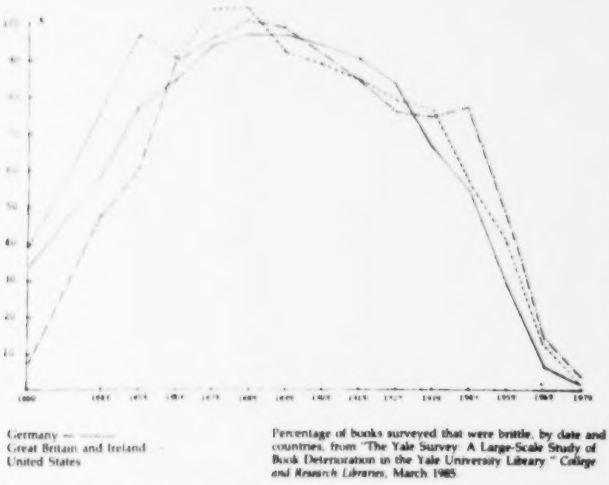
mented on media that everyone recognizes as impermanent. Most is recorded on paper which has inherent weaknesses. After the mid-nineteenth century, industrialization provided the world with more economical means of producing greater quantities of paper, but the quality of that product declined. The alum-rosin sizing used to prepare the paper for ink, the bleach used to whiten the paper, and the wood pulp that replaced rags as the main



34, 35. Proper storage of library and archival material is critical to its preservation. Acid-free enclosures and boxes shield materials from light and protect them from air-borne pollutants and from migration of acids from other sources. Large items such as maps and architectural drawings should be unrolled and stored flat in protective folders.

component of paper, all contribute to the formation of acids that cause paper to become discolored and brittle almost as soon as it is manufactured. The problem is growing as more and more information is recorded on this kind of paper. The implications are staggering: most of our research materials will eventually disappear; many will disappear within our lifetime. Repositories can (and should) forestall this loss through economical and practical preservation management practices. They should consider strategies which stabilize or at least slow down deterioration and which transfer important and heavily used information from the medium of paper to more secure and long-lasting media.

Some materials have clear intrinsic importance as artifacts. They are precious enough to society in and of themselves to warrant preservation in their original form. For instance, Indian treaties, Dutch and English colonial records, original charters and laws, unique manuscript maps, and rare or unique published works probably all warrant preservation in the original if resources and means are available. Repositories should do whatever

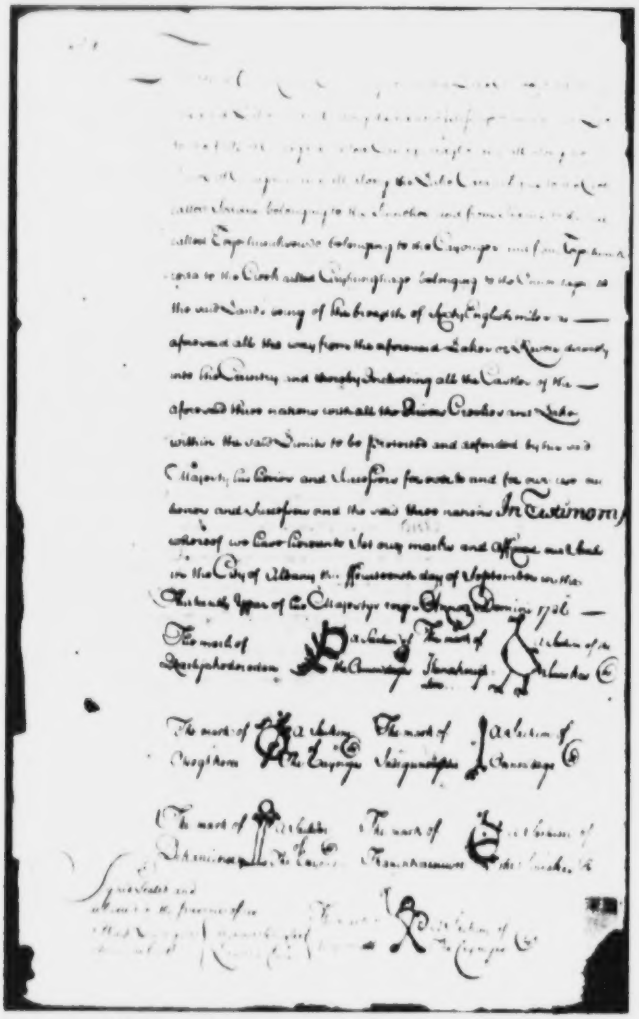

Germany
Great Britain and Ireland
United States
Percentage of books surveyed that were brittle, by date and countries, from "The Yale Survey: A Large-Scale Study of Book Deterioration in the Yale University Library." College and Research Libraries, March 1985.
From "The Yale Survey: A Large-Scale Study of Book Deterioration in the Yale University Library." College and Research Libraries, March 1985

36. The chart above shows the percentage of books surveyed at Yale University Library that were brittle, by date of publication and country of origin. Over 80% of books published in the United States between the late 1860s and the early 1930s are already at risk. Use of better quality paper by publishers can help to alter this disturbing trend for materials published in the future.

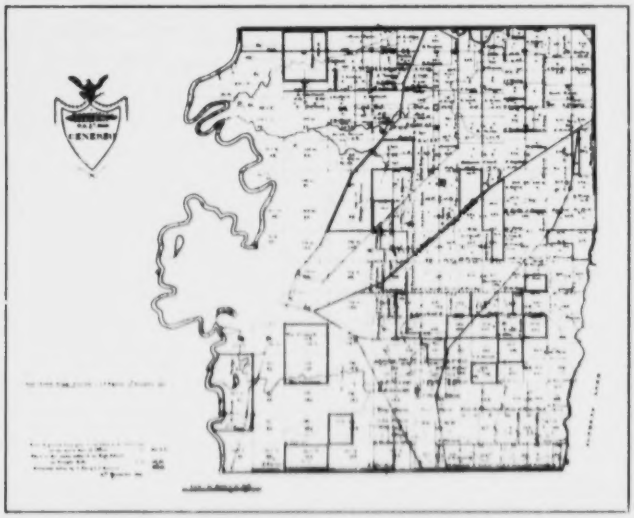
they can to prolong the life of such materials. Some possibilities include deacidification, mending, conservation binding, and protective enclosures. However, protection in a highly secure and completely controlled environment is the most cost effective and basic way to preserve materials of intrinsic value.

For the bulk of research material, however, the primary concern is the informational content rather than the physical item itself. This is particularly true for voluminous governmental and other institutional records that possess little or no intrinsic value and for which copies of the information will serve almost all researcher needs. Microfilming at present is the most economical and easily available means of reproducing and preserving that information. There are no definitive standards for how long microfilm will last but tests by the microfilm industry,

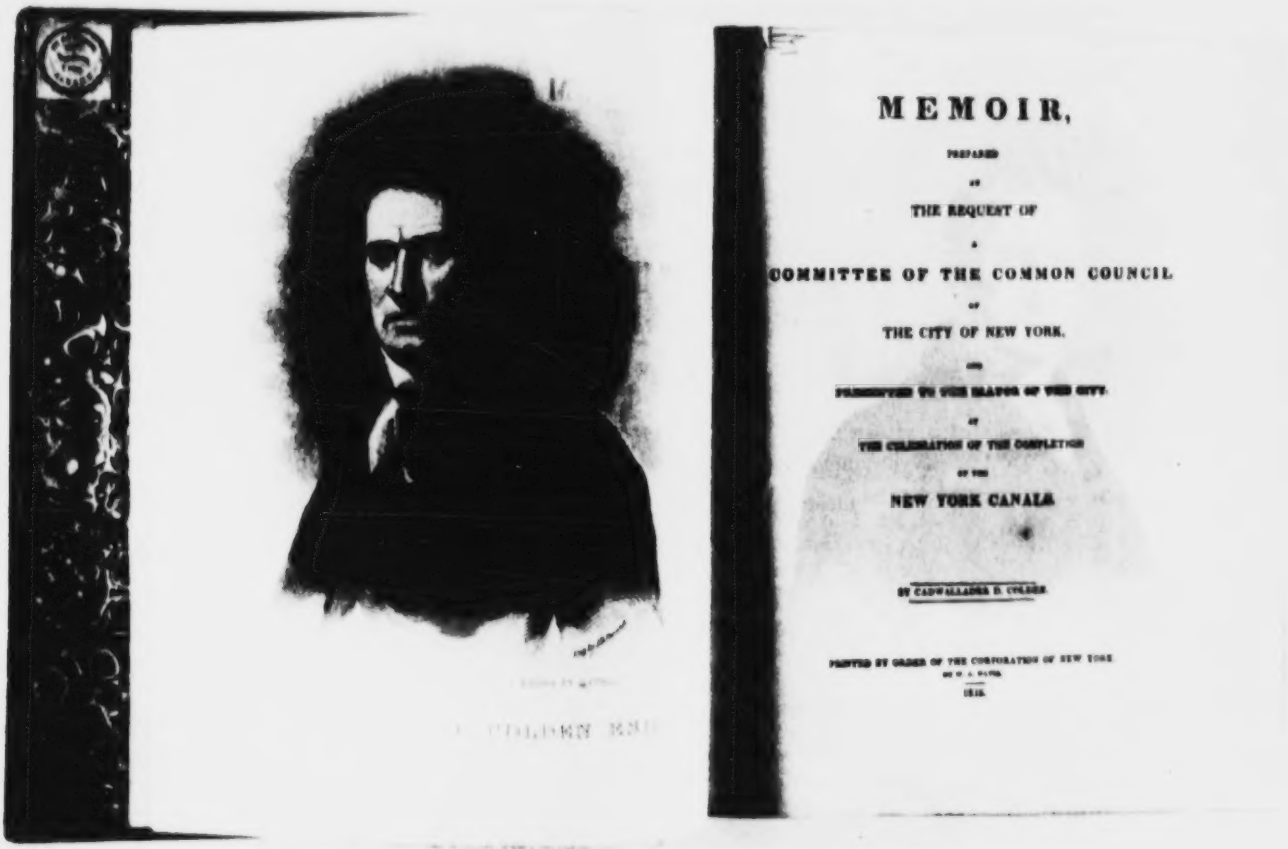
All of these materials have intrinsic value – importance as objects or artifacts that goes beyond their informational content. Such material should be retained in its original form and may justify the expense of advanced laboratory conservation treatment. Institutions should survey their holdings to identify material with intrinsic value and to determine overall preservation needs and treatment priorities. This allows the institution to treat all of its materials in the most efficient and cost-effective manner (illustrations 37 through 41).



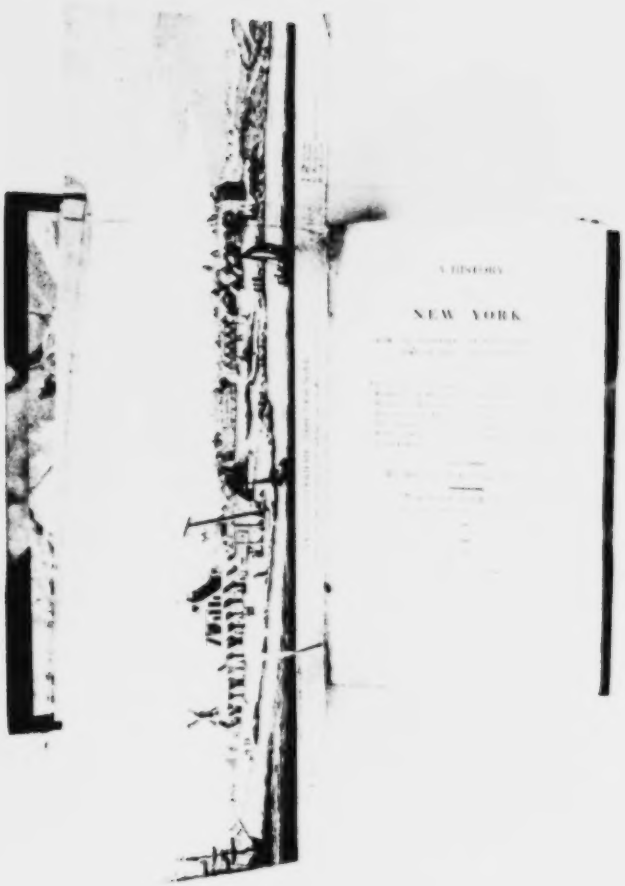
37. Treaty between the Onondagas, Cayugas and Senecas and the Colony of New York, 1726.



38. Map depicting lands owned by the Holland Land Company, in Genesee, N.Y.



39. Commemorative volume issued at the opening of the Erie Canal in 1826.



40. First edition of Washington Irving's A History of New York, published in New York in 1809.

41. Conservators work to deacidify a document of intrinsic value.

42. Microfilming is currently the most economical means available for preserving the information in a book or record.

government, and independent testing labs conclude that properly manufactured, processed, and stored film will last indefinitely—and almost certainly will outlive highly acidic paper. Moreover, the master copy of the film can be stored off premises for security, and copies can be made available wherever needed for research use. Microfilm is not the entire answer, however. It is expensive to

43. Most permanent information is still recorded on paper. However, increasing quantities of information are recorded on magnetic tape or disc. Selection and preservation of such information present a challenge to archivists around the world.

produce and requires close monitoring to ensure quality. In the future, advances in optical disc and other technologies may offer better options. In the meantime, repositories must carefully adopt strategies for the basic physical preservation and maintenance of all of their holdings and the reproduction of selected portions of those holdings.

Modern information technology is, of course, carrying society beyond exclusive reliance on paper-based records. But the advent and increasingly widespread use of the computer offers little comfort for the preservation of information with long-term research value. Computers have

44. National library and archival bibliographic data bases provide access to information on research material all over the country. Expansion of these data bases throughout New York is crucial to librarians' and archivists' ability to efficiently provide researchers with the information they require.

the ability to assimilate, manipulate, store, and access vast quantities of information. They may someday make it possible for us to preserve and make available information of continuing value in ways we have not yet considered. But they presently carry at least three major problems. Computers offer their users opportunities and incentives to change or erase information after it has served the immediate purpose of its creation. In effect, every computer user becomes his or her own archivist, deciding through the push of a button what information survives and what does not. Furthermore, there are no reliable guidelines on how long information stored on computer disks, tapes, or in other "machine readable" forms, will last. Secure and environmentally controlled storage prolongs the life of "machine-readable" records but their life expectancy cannot be predicted. A final problem is the rapid obsolescence of computer hardware and software, both of which are essential if "machine-readable" information is to be of use in the future.

Current Strategies and Initiatives

A number of New York initiatives during the past few years are beginning to address some of the preservation problems described above. We need to build on and extend these initiatives as we develop broad, long-term strategies to meet New York's massive preservation needs.

The Historical Documents Inventory, initiated in the late 1970s by Cornell University's New York Historical

Resources Center, has surveyed historical records in most of the State's repositories. The Inventory was supported for a number of years primarily by grants from the National Historical Publications and Records Commission. In 1984 the Legislature began providing State support to complete the initial survey. Cornell is continuing the

New York nonprofit cultural institutions may take advantage of reduced rates for conservation services provided by the Northeast Document Conservation Center in Andover, Massachusetts. The Center operates under auspices of a consortium of eight states (New England, New York and New Jersey). Another regional service agency, the Conservation Center for Art and Historic Artifacts in Philadelphia, is often used by repositories in the southern part of New York (illustrations 45 and 46).

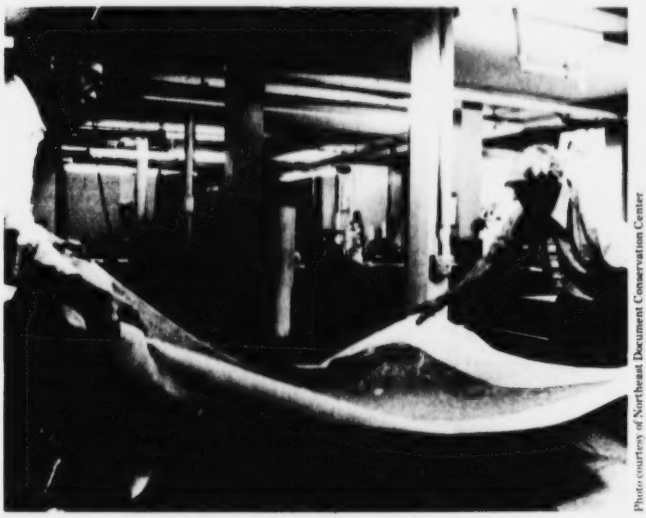


Photo courtesy of Northeast Document Conservation Center

45. Conservation laboratory at Northeast Document Conservation Center.

work under contract with the State Education Department and with the advice of an oversight committee appointed by the State Archivist. Work is concentrated now in New York City with matching funds from a grant from the National Endowment for the Humanities. The Inventory locates, describes, and produces county-by-county guides to historical records. Data are also entered into the national RLIN (Research Libraries Information Network) database through which it will be available to scholars across the country. The Inventory will make it possible for the first time also to analyze the historical records holdings of all of New York's repositories and to plan for a more coordinated approach to collecting. After the initial survey, to be completed by 1990, the Inventory database needs to be maintained, updated, and made broadly accessible to the citizens of New York.

Comprehensive library legislation in 1984 authorized State funding for libraries and other selected repositories to assist in the preservation of deteriorating library research materials. The program was expanded, and funding was increased in 1986. The program consists of annual grants to eleven comprehensive research libraries,

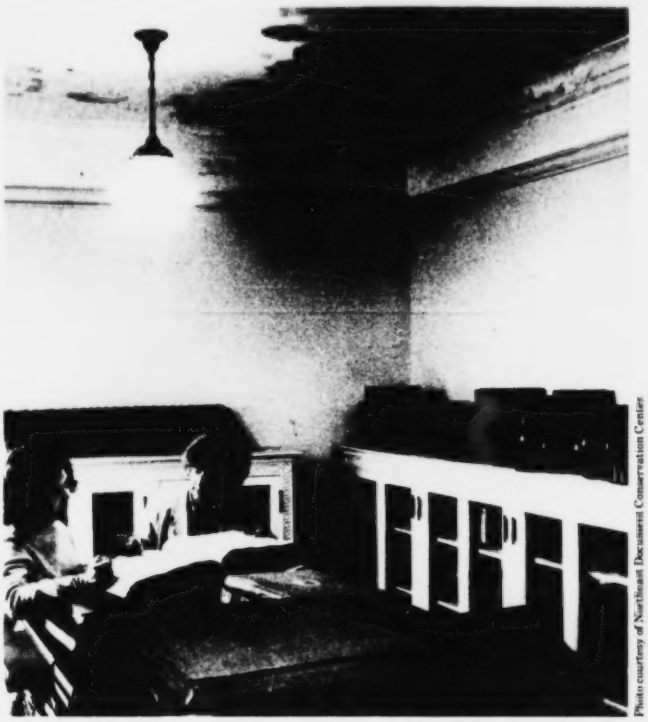


Photo courtesy of Northeast Document Conservation Center

46. In addition to laboratory services, regional centers also provide consultations and surveys of facilities and collections to assist clients in preservation program development.

coordinated projects involving those libraries, and discretionary grants for the preservation of unique research resources in other libraries, historical societies, and archival repositories. Funds are administered by the State Library's Division of Library Development. The program is designed to encourage the development of preservation programs and cooperative activities throughout the State and to work with institutions to determine their preservation needs and provide appropriate training and information. The annual grants help the eleven comprehensive research libraries complete condition surveys, implement disaster plans, improve environmental conditions, increase preservation reformatting, improve conservation treatment facilities, and provide protective enclosures and conservation treatment for many important research materials. The discretionary grants fund a variety of preservation efforts, including microfilming, condition surveys, rehousing, and conservation treatments.

In the fall of 1986, the National Endowment for the Humanities awarded the Division of Library Development a

grant intended to strengthen the administration and coordination of this program and to help establish it as a model for adaptation by other states. The grant funding, matched by funds from the Andrew W. Mellon Foundation, will be used for development and evaluation through increased staffing and panels of external consultants.

A proposed Regional Historical Records Program Development System was considered for funding by the 1986 session of the Legislature. The System is designed to furnish advisory services to historical records repositories and local governments. Services would be provided by a historical records specialist based in each of nine regions throughout the State. The proposed program would make available advice on historical records program development and technical problems and encourage cooperation among repositories and local governments within regions. It has great potential to help address many of the needs identified in this report and has been widely endorsed by the historical records, library, research and local government communities. The Legislature also considered a Local Government Records Bill which included a grant-in-aid provision for administration of local government archival and vital records. Neither proposal passed in 1986. The Local Records proposal was reintroduced and passed in the 1987 session, with the grant-in-aid provision deleted. The Local Government Records Law–Ch. 737, Laws of 1987–provided for the appointment of a Local Government Records Advisory Council to advise the Commissioner of Education on policies and procedures, State services and financial support. The Council made an initial report on these matters to the Commissioner, the Governor, and the Legislature by December 1, 1987. That report recommended the establishment of a State Records Retention Fund, based on a "records creation surcharge" collected by local governments. The Fund should be used to support improved management and maintenance of local government records, especially those of permanent value and those vital to the continuity of government services.

New York's nonprofit cultural institutions are able to take advantage of the services of the Northeast Document Conservation Center (NEDCC) through the State Library's membership in the eight-state consortium that supports the Center. The Library's membership entitles all libraries and archives in the State to receive field service consultation and treatment work at a reduced rate. Services include conservation surveys, document and book conservation, preservation microfilming, photographic preservation, and disaster assistance. The Center's program has expanded considerably during the past few years with the assistance of grants and in response to increased demand for its services. It serves several dozen New York institutions each year. A number of additional preservation facilities also offer services to New York, including the Conservation Center for Art and Historic Artifacts in Philadelphia. New York should continue to support, and take advantage of, programs that can provide efficient, economical preservation services. However, the NEDCC and these additional facilities taken together cannot begin to provide all the preservation services needed in this State.

The School of Library Service at Columbia University has begun to address the critical need for trained conservators and conservation program administrators. It now offers degree/certificate programs to train both library and archival conservators and preservation administrators. This is the first such advanced degree program in the nation. New York repositories have already begun to hire graduates from this program. If it successfully expands and gives increased emphasis to archival concerns, it could provide a growing body of professionals to help fulfill future preservation needs in New York and across the nation.

These impressive initiatives mark New York as a leader in statewide planning and implementation of programs to identify and preserve its unique research resources from impending destruction. They offer considerable promise. However, several of the key initiatives have not yet received legislative approval and much of what needs to be done is beyond the limits of current programs and resources. Concerted statewide action is needed to meet this critical challenge.

FROM PLANNING TO ACTION: PRINCIPLES AND ASSUMPTIONS

Pages 33 through 42 of this report present specific recommendations for the long-term improvement of preservation efforts in New York State. The following principles and assumptions underlie these recommendations:

Responsibilities

The citizens of New York have a vital stake in and should actively support the preservation of their unique resources. Librarians, archivists, and others responsible for New York's research resources must provide the public with information on the value and importance

Photo courtesy of Rochester Public Library

47. New Yorkers use research resources for a variety of educational purposes and scholarly pursuits as well as to establish legal rights, to locate personal and family "roots", and to satisfy personal research needs.

of these resources to society, and on the preservation problems that threaten the continued existence of these resources. The residents, institutions, and governments of the State who benefit from both the cultural and practical uses of these resources, need to become more conversant with the uses and conditions of the material. Citizens also need to support and to demand programs to ensure their

preservation, including appropriate State and local government resources.

The administrators of institutions that create or collect research materials have the primary responsibility for their preservation. The act of collecting carries with it an implied commitment to preserve and make available. Institutions must allocate the resources needed to meet this responsibility on a continuing basis and should include preservation planning and management as an integral part of their ongoing operations and budgets. Institutions that cannot do this should consider ceasing to collect and transferring their collections to repositories that can offer effective administration.

Government, particularly the State government, has an important responsibility to preserve New York's unique research resources. The State government itself is a major creator of research resources in the form of its own archival records and government documents. It supports a State Archives and a State Library which are major collectors and service agencies for the government itself and for the people of the State. Its statutes mandate or contribute to the creation of huge quantities of records in another sector, local government. Its support of the State University system and the City University system and its assistance to private colleges and universities encourages institutions that collect research resources. These institutions, in turn, support thousands of professors and students who need and use these resources for research and educational purposes. More importantly, as this report has argued above, research resources serve the people of New York as a whole and advance the public welfare. This is an additional incentive and justification for State government to ensure their continuing preservation, on behalf of all the people of New York.

The State Education Department has a particular obligation to provide guidance and leadership in this area. The Department's Office of Cultural Education, the administrative location of the State Archives, State Library, and the State Museum, must lead and coordinate the preservation of New York's historical records and research materials. This is a logical expectation in light of the Department's oversight responsibilities for all educational and cultural institutions that comprise the University of the State of New York. The Department also oversees the retention and disposition of local government records and provides records management advice to local governments. It charters libraries, historical societies, and museums which possess much of the State's unique research resources. The Archives' Office of External Programs and the Library's Division of Library Development should assume responsibility in the preservation area and work closely together to advance a coordinated statewide preservation effort.

48. The Cultural Education Center, located at the Empire State Plaza in Albany, N.Y., houses the State Archives, the State Library and the State Museum. These offices are both custodians of state cultural resources and leaders in development and coordination of programs to strengthen archival, library, and historical institutions across the state.

Operating Principles

Preservation is one aspect of, and should be closely integrated with other aspects of, sound cultural resource management. "Preservation" should not be construed narrowly or considered separately from the total needs of library or historical records repository programs. It should be integrated with related core functions, particularly identification, selection, acquisition, description, management, and retrieval of these materials. Preservation efforts should be promoted by the State Education Department and others as one part of a total effort to strengthen the overall management of the State's local government records, libraries, and historical records repositories.

Careful selection of unique research materials is essential. Of all the related functions, the careful selection of materials of enduring value has the greatest direct impact on preservation activities. Unless selection is based on adequate information and expertise and on careful analysis, and is carried out in a coordinated and cooperative fashion, important materials will be lost, efforts will be duplicated, and scarce resources will be wasted.

Making available the information or content of historical records and unique research materials is the primary goal of preservation programs. It is the information itself, rather than the medium that holds the information, that warrants preservation in most cases. Treatment is justified to preserve the original physical

form only when an item has intrinsic value as an artifact, or when duplication will reduce a user's ability to understand the information in the material.

Established preservation standards should be observed. Libraries and other repositories in New York State should use nationally accepted preservation standards such as Permanence of Paper for Printed Library Materials and the technical standards for microfilming developed by the Association for Information and Image Management and the American National Standards Institute. In addition, such emerging standards as Practice for Storage of Paper-Based Library and Archival Documents, currently in draft form, should be strongly encouraged. Guidelines in New York State should recognize such national standards, base plans upon them, and assist in their further development.

Implications for Other Research Materials

Sound preservation practices should be encouraged for all research materials. Although this report focuses on the preservation of unique resources, the use of sound preservation practices in administration of all research collections is of concern to the people of the State. Training and sound conservation policies and procedures can enable better and extended use of, for example, the 163 million volumes in the libraries of the State.

Regional Services

Within New York, preservation programs should be developed on a regional basis. Preservation services and conservation facilities in New York should be located convenient to repositories in all regions of the State and widely shared, thereby encouraging the use of existing regional service systems, promoting effective cooperation among institutions, and building programs and services that are close to those served and responsive to their needs.

Beyond New York

New York should encourage, support, and take advantage of services and programs available outside the State. The institutions that hold research resources and the leaders of statewide preservation program development should closely follow national and regional developments. They should seek to influence research, standards, services, and programs that may provide for effective and economical preservation work on New York's research resources, and make certain that New Yorkers know about and benefit from such developments.

RECOMMENDATIONS FOR ACTION: Individuals, Associations, and Institutions that Administer Unique Research Resources

The next section of this report, pages 33 through 42, discusses the recommendations for statewide action that were derived during the course of the three-year New York Document Conservation Administration Training and Planning Project. Many of these recommendations are for complex, long-term actions that will require cooperation and support from many institutions and the allocation of significant public and private resources. Implementation of these statewide recommendations depends not only on initiation and coordination by government. Also essential are concerted attention by the concerned public and advocate organizations, and sustained action on the part of the institutions that hold and administer New York's unique research materials.

This section outlines recommended actions for individual citizens, organizations and associations, and individual repositories.

A. RECOMMENDATIONS FOR INDIVIDUAL CITIZENS

Individual citizens need to express their concern about the continuing survival of New York's unique research resources because of the significance of those resources for a wide range of research that benefits the people of the State. In the final analysis, it is only through sustained citizen interest that the significant recommendations advocated in the next section of the report are likely to be fulfilled. Concerned citizens can and should begin immediately to take a number of steps to promote improved preservation, including the following:

A.1 Write to the State Archives External Programs Office or to the State Library's Conservation/Preservation Office requesting advice on how to assess the condition of historical records and other unique research materials in your community and region.

A.2 Work with the leaders of libraries, local governments, and historical records repositories in your community or region to initiate discussion, sharing of information, and cooperative assessment and planning on preservation conditions and needs. Encourage the formation of a working group of representatives of these institu-

tions and of local citizens to fully consider conditions and needs.

A.3 Urge the individual libraries, historical records repositories, and local governments in your area to obtain professional advice, if this is not already available, to assess and plan for the improvement of their programs for unique research materials.

A.4 Contact local, State and Federal officials to convey concerns and suggestions for government action to improve the identification, preservation and use of unique research materials of particular interest to you and your fellow citizens.

A.5 Offer to contribute your time or other resources to help carry out the above activities.

B. RECOMMENDATIONS FOR ORGANIZATIONS AND ASSOCIATIONS

Associations of local government officials, librarians, archivists, lawyers, researchers, educators, civic and commercial groups, groups advocating improved government, and other associations that have an interest in the identification and use of unique research materials all have an important role to play in the long-term preservation of New York's unique research resources. These associations should act on behalf of the people they represent to obtain more information about the significance of these resources, to learn about preservation needs, and to advocate and monitor action to meet those needs. Appropriate actions include the following:

B.1 Sponsor a presentation or a discussion session at a meeting of your association. Explore the status of the identification and preservation of and access to unique research materials, especially those of highest interest to your members.

B.2 Convey the interests, concerns and suggestions of your association directly to appropriate elected and appointed local, State, and Federal officials.

B.3 Work with other associations to form a policy and advocacy coalition or to join an existing one such as the Coalition for New York's Documentary Heritage.

B.4 Make certain that you regularly receive up-to-date information on statewide initiatives and activities through newsletters such as *For The Record* (from the State Archives), *Network* (from the State Museum), and materials from the State Library.

C. RECOMMENDATIONS FOR INSTITUTIONS THAT ADMINISTER UNIQUE RESEARCH MATERIALS

It is the institutions that collect and hold New York's unique research resources that have the most important, direct, and continuing responsibility for their preservation. Collecting carries with it a fundamental responsibility to preserve for future use. These institutions should work for the implementation of the long-term, statewide recommendations discussed on pages 33 through 42 below, but they should also begin working immediately "at home" to upgrade their own preservation efforts where necessary. Preservation should be regarded as a core function that merits adequate, ongoing support in every repository. Recommendations for early action by these institutions include the following:

C.1 Request from the State Archives, the State Library, or another appropriate organization, advice and written materials on how to assess the activities of your institution in the preservation of unique research resources.

C.2 Conduct a self-study to examine (a) the relationship of unique research materials to the mission, goals, priorities and capacities of your institution, and (b) the major needs of your institution in the administration of unique research materials.

C.3 Obtain continuing expert professional advice on the administration of unique research materials through staffing, a contract consultant, sharing expert staff among a consortium of other institutions, or by requesting State government technical assistance. Begin with a brief conservation survey of the physical and environmental conditions in your institution.

C.4 Initiate discussions with other institutions in your community and region, or with other types of institutions with similar interests and functions, to explore potential cooperation to meet shared needs.

C.5 Join with these other institutions, with interested members of the public, and with concerned organizations and associations, to bring preservation conditions and needs, and the importance of unique research materials, to the attention of the public and of key resource allocators, including local, State, and Federal officials.

RECOMMENDATIONS FOR STATEWIDE ACTION

This section discusses nine major statewide issues that were identified during the course of the New York Document Conservation Project and discussed at the statewide preservation conference on May 15, 1986. For each issue, there are recommended actions, suggested initiators, and notations about needed resources.

State government is the logical initiator for many of these recommendations. The State is the only key actor having statewide responsibilities and perspective, and it is the logical institution to initiate, encourage, and support cooperative coordinated preservation efforts on a statewide basis. Moreover, assigning this lead role to the State is consistent with the State's responsibility discussed on pages vi-viii.

The State Archives and State Library, units of the State Education Department's Office of Cultural Education, should assume primary responsibility in this area. Recommendations to initiate, however, do not mean providing all the resources and/or carrying out all the work. The State should not and cannot be expected to bear the entire burden of these ambitious recommendations. There is a crucial need for the actions by individuals, associations, and institutions outlined in the prior section. Their interest and support is essential if the State is ever to initiate many of the recommendations for statewide action.

ISSUE 1: THE IDENTIFICATION AND SELECTION OF UNIQUE RESEARCH RESOURCES IN NEW YORK

Conditions

New York's historical records repositories lack sound criteria for assessing the overall adequacy of archival documentation and well- established systems for identifying and acquiring records of significant value. Many libraries also lack carefully considered and coordinated methods for selecting unique published research materials. As a consequence, it is impossible to ascertain whether all important unique research resources, especially historical records, are being preserved, either by their creators or by an appropriate repository. These same institutions often lack well-developed procedures for assessing the preservation status of research resources in their acquisition de-

cisions. The lack of established criteria, sound procedures and cooperative systems makes it difficult to coordinate efforts to identify, select and preserve unique research resources and to develop rational priorities for spending limited funds to accomplish these tasks.

Recommendation 1.1

Action: *Complete the initial Historical Documents Inventory project, maintain an automated statewide database for historical records collections and repository acquisition policies, and provide for updating the system.*

Initiators: The State Archives and the Historical Resources Center at Cornell University, with the advice of a Historical Documents Inventory Advisory Group appointed by the State Archivist.

Resources: Continued State contractual funding or other support for the Inventory and database and for services to maximize access and use.

Recommendation 1.2

Action: *Encourage the rapid development of a machine-readable database of research library collecting policies and unique library research holdings not eligible for survey by the Historical Documents Inventory.*

Initiators: The New York State Library's Division of Library Development, in cooperation with New York's research libraries and the nine Reference and Research Library Resources Systems.

Resources: Temporary staff for the Division of Library Development and contractual or grant funds for regional activities.

Recommendation 1.3

Action: *Complete and maintain current records retention and disposition schedules for all types of local government in New York, designating those records that contain information of enduring value to the government and people of New York.*

Initiators: The Local Records Program of the New York State Archives, with advice from the Local Government Records Advisory Council.

Resources: Full staffing of authorized positions in the State Archives' Local Records Section.

In 1984, one hundred administrators from New York's libraries and historical records repositories attended workshops on preservation management sponsored by the New York Document Conservation Administration Training and Planning Project. During each workshop, participants discussed preservation needs in their institutions and explored strategies for statewide preservation planning (illustrations 49, 50 and 51).

49. Administrators from New York cultural institutions at preservation management workshop

Recommendation 1.4

Action: *Complete and maintain current retention and disposition schedules for all State government records, designating those in all three branches of government that contain information of enduring value to the government and people of New York.*

Initiators: The Executive Chamber, for its own records; the Records Management Council, under the leadership of the Governor's Special Assistant for Management and Productivity for Executive Branch Records; the Office of

50. Participants discussed procedures for archival preservation program planning and development.

Court Administration; the State Assembly and State Senate: all of these in cooperation with the Records Appraisal Section of the State Archives.

Resources: Experts in records disposition analysis and records disposition training programs in the Executive Branch Records Management Office, the Office of Court Administration, and the State Assembly and Senate.

Recommendation 1.5

Action: *Cooperatively draft and test regional and statewide "documentation strategies" to identify the types of records that are not being adequately retained or collected, and to guide efforts to do so effectively and efficiently.*

Initiators: The State Historical Records Advisory Board appointed by the Governor, The State Library's Advisory Council on the Conservation and Preservation of Library Research Materials, and the Reference and Research Library Resources Systems, in cooperation with the full community of individuals and institutions that create, collect, administer and use unique research resources, with staff assistance from State Archives External Programs and from the Division of Library Development.

Resources: Regional historical records specialists supported by State contractual funds, and documentation specialists in the State Archives and State Library.

Recommendation 1.6

Action: *Cooperatively draft and disseminate regional and statewide guidelines for establishing priorities for preservation treatment for those unique research resources identified as having enduring value to the people of New York.*

Initiators: The State Historical Records Advisory Board appointed by the Governor, The State Library's Advisory Council on the Conservation and Preservation of Library Research Materials, and the Reference and Research Library Resources Systems, in cooperation with the full community of individuals and institutions that create, collect, administer and use unique research resources,

51. Participants were shown a variety of preservation treatments by State Archives laboratory staff.

with staff assistance from State Archives External Programs, the Division of Library Development and the State Records Preservation Unit.

Resources: Regional historical records specialists supported by State contractual funds and preservation specialists in the State Archives and State Library.

ISSUE 2: EDUCATION AND TRAINING

Conditions

Many administrators responsible for important research resources in New York's libraries, historical records repositories, and State and local governments are unaware of preservation needs. Many of these officers lack knowledge of sound principles for the administration of historical records generally. Professional and technical staff in most New York institutions holding unique research resources are unable to obtain preservation

training and education, and there is a shortage overall of trained professional conservators and preservation administrators.

Recommendation 2.1

Action: *Provide regular workshops and seminars to teach preservation planning, management and methods to staff of libraries and historical records repositories throughout the State.*

Initiators: The Conservation/Preservation Program of the Division of Library Development and State Archives External Programs staff, in conjunction with the library systems, research library preservation specialists, regional historical records specialists, and colleges and universities with library or conservation programs.

Resources: Adequate staffing for the Conservation/Preservation Program of the Division of Library Development and of State Archives External Programs, and State contractual funds for the regional system of historical records specialists and training programs.

Recommendation 2.2

Action: *Provide regular workshops and seminars throughout the State in basic archival and records administration techniques.*

Initiators: The External Programs section of the State Archives in cooperation with regional sponsors of historical records specialists.

Resources: Contractual service funds to support the nine regional specialists, and staffing for the State Archives External Programs section for coordination of statewide historical records program development.

Recommendation 2.3

Action: *Plan and provide sufficient and accessible advanced degree programs and special in-service institutes and courses in conservation and in preservation administration of library research collections and archival materials.*

Initiator: The Offices of Cultural Education and Higher and Professional Education in the State Education Department, in cooperation with SUNY and CUNY Central Administration, Columbia University School of Library Services, and other interested library and professional schools.

Resources: State support for competitive fellowships and scholarships to enable qualified students, including practicing archivists and librarians, to attend degree and certificate programs and special institutes and courses.

ISSUE 3: PRESERVATION STANDARDS, GUIDELINES, AND INFORMATION SERVICES

Conditions

Preservation of research resources of enduring value is made more difficult because of the absence of standards for materials and methods for the creation, storage, handling and conservation treatment of these materials. Where such standards or guidelines exist, they generally have not been adopted by State or local governments or by institutions that hold New York's unique research resources. Compounding this problem, information about such standards and guidelines, including how they might be applied, is not readily available to those who create or administer many of New York's most important archival records and published research resources.

Recommendation 3.1

Action: *Adopt, disseminate and use: (1) quality standards or guidelines for paper and other media used to create State government records of enduring value to the government and people of New York; and (2) standards or guidelines for the proper administration of such records to ensure the survival of the information they contain.*

Initiators: The New York State Archives, in consultation with industry and professional experts in paper and media production and preservation and with officers responsible for records administration in all three branches of State government, especially the Records Management Council, the Office of General Services, the Office of Court Administration, and the leadership of the Assembly and Senate.

Resources: Contractual service funds and temporary staffing in the State Archives to study existing standards and guidelines and to draft appropriate standards and guidelines where none exist. Funds in all three branches of State government for the procurement of acceptable materials under State contract and for the creation and administration of the permanent copy or copies of information of enduring value according to these standards and guidelines.

Recommendation 3.2

Action: *Adopt, disseminate, and use: (1) quality standards or guidelines for paper and other media used to create local government records of enduring value to the local government, State government and people of New York; and (2) standards or guidelines for the proper administration of such records to ensure the survival of the information they contain.*

Initiators: The Local Records Program of the New York State Archives in consultation with experts and with the

Local Government Records Advisory Council under Ch. 737, Laws of 1987.

Resources: The availability of acceptable materials under local and State contracts. Partial funding from State government for purchase of materials meeting State standards and guidelines.

Recommendation 3.3

Action: *Adopt, disseminate, and use standards and guidelines for the storage (including environmental conditions) and handling of research resources administered by State and local governments and by libraries, historical societies, museums and other historical records repositories chartered by the Board of Regents.*

Initiators: The Division of Library Development, the State Archives, and the Division of Historical Services in the State Museum, in cooperation with appropriate advisory bodies.

Resources: Access to expertise by the programs of the Office of Cultural Education listed immediately above, and State technical and grant-in-aid assistance as described in recommendations #7.1 through 7.8 below.

Recommendation 3.4

Action: *Create a statewide preservation information center and a network of regional preservation information and technical assistance personnel to acquire and make available information about conservation and preservation standards, guidelines, techniques, plans, services, supplies, publications and other resources.*

Initiators: The Division of Library Development, in cooperation with the State Archives, comprehensive research libraries, and regional programs.

Resources: Staffing for a Preservation Information Center in the Division of Library Development, and resources for the regional historical records program development system described in recommendation #7.2 below.

ISSUE 4: DISASTER PREPAREDNESS AND ASSISTANCE

Conditions

Natural and man-made disasters are frequent, though often unreported, occurrences in the institutions that hold New York's archival records and unique published research collections. Only a tiny portion of institutions and governments in New York, however, are prepared to respond to disasters that can destroy irreplaceable research resources. Those few plans that do exist are not linked together for maximum effectiveness and efficiency. Coordinating disaster planning and services available to respond to disasters can prevent the disappearance of substantial portions of New York's heritage.

Recommendation 4.1

Action: *Draft and promulgate State guidelines for preparation of a disaster plan by local governments and by libraries, historical societies, museums and other chartered institutions holding unique research resources.*

Initiators: The Board of Regents, based on recommendations from the State Library, the State Archives and the State Museum.

Resources: Access to outside expertise as needed.

Recommendation 4.2

Action: *Designate and assist at least one institution in each Reference and Research Library Resources System region to provide emergency assistance to other agencies and repositories in the event of a disaster, and provide State support for such assistance.*

Initiators: The Division of Library Development in cooperation with the Reference and Research Library Resources Systems and the State Archives, and after discussion with local governments, libraries and other repositories of research resources in each region.

Resources: Contractual funds to the Division of Library Development to assist one institution in each Reference and Research Library Resources System region.

Recommendation 4.3

Action: *Develop and maintain regional disaster preparedness plans.*

Initiators: Designated regional disaster assistance centers, the State Archives, and the Division of Library Development, in cooperation with the Reference and Research Library Resources Systems.

Resources: Contractual funds to the Reference and Research Library Resources Systems to coordinate planning with and among local governments, libraries and historical records repositories in their regions.

Recommendation 4.4

Action: *Prepare a disaster preparedness plan for the State Library and the State Archives and a disaster plan for other records and research materials in Albany that are essential to the continued operation of the State government.*

Initiators: The State Library and the State Archives in cooperation with the Records Management Council, the Office of General Services, the Legislative Leadership, and the Office of Court Administration, with reference to

records retention and disposition schedules for State government records.

Resources: Appropriate supplies, facilities and expertise in the State Archives and State Library, and access to these and other emergency resources.

ISSUE 5: LOCAL AND STATEWIDE PUBLIC AWARENESS

Conditions

Although selected government records and unique research collections are vital, both to meet practical needs and to ensure the survival and transmission of our culture, the general public is largely unaware of the utility or condition of these materials or of programs that administer them. Unless the public, and especially those groups whose interests are most directly affected, become more familiar with these issues, it is unlikely that necessary analysis, cooperation and resources will be forthcoming. A concerted and ongoing effort to explain the public's interest in identifying, preserving, and assuring the availability of unique research resources is a prerequisite for effective public policy in this area.

Recommendation 5.1

Action: *Produce and distribute informational materials on the importance, conditions and uses of archival records and unique research collections, with suggestions for citizen involvement to improve these conditions at the local, regional and state levels.*

Initiators: The Division of Library Development with assistance from the Public Broadcasting Service and the State Archives.

Resources: Funds to produce and distribute effective printed and multimedia materials directly and through library systems, local government associations, and civic, educational and other groups, especially those that benefit most directly from unique records and research collections.

Recommendation 5.2

Action: *Hold a series of regional legislative hearings during the period of the Bicentennial of the Constitution (1987-89) on the condition, importance and uses of New York's archival records and other unique research collections.*

Initiators: The leadership of the Assembly and Senate, in cooperation with the State Historical Records Coordinator and Advisory Board, and the Chairman and Members of the Advisory Council on the Conservation and Preservation of Unique Library Research Materials.

Resources: Staff of the State Legislature, State Archives, and State Library, and regional historical records specialists and Reference and Research Library Resources Systems staff to arrange for the hearings.

ISSUE 6: INVESTIGATION OF PRESERVATION SERVICE NEEDS AND OPTIONS

Conditions

Most essential preservation/conservation treatments for unique research resources can neither be developed nor provided cost-efficiently by individual libraries or historical records repositories. Such services include fumigation, mass deacidification, freeze drying, document repair and restoration, fine binding, reformatting and other specialized reproduction, miniaturization, digitization, and storage of selected materials, particularly in special media formats. Currently, limited resources make it possible to provide full preservation or conservation treatment for only a limited portion of unique research resources. Ensuring the availability of essential conservation services requires additional resources, careful research and testing, broad discussion, and cooperative planning.

Recommendation 6.1

Action: *Undertake a series of studies to consider statewide and regional needs and program options for preservation services that cannot be provided adequately by individual libraries, governments, and historical records repositories.*

Initiators: The Division of Library Development, with the advice of the State Archives, the State Historical Records Advisory Board, and the Advisory Council on the Conservation and Preservation of Library Research Materials.

Resources: Contractual service funds to the State Library for the series of special studies.

Recommendation 6.2

Action: *Prepare by 1990, for adoption by the Board of Regents, a formal long-range plan for statewide and regional preservation and conservation services, including the operational and support services to be provided by State government.*

Initiators: The Office of Cultural Education, drawing on the special studies indicated in #6.1 above.

Resources: Sufficient staff and contractual funds.

In May 1986, The New York Document Conservation Administration Training and Planning Project sponsored a conference – "Our Memory At Risk." Over 250 New Yorkers who share a concern for preservation of the State's unique research resources came to Albany to discuss a draft of this publication, *Our Memory At Risk*, and the future of preservation planning in New York (illustrations 52, 53 and 54).

52. A panel of preservation experts (Jeffrey Field of the National Endowment for the Humanities, Carolyn Morrow of the Library of Congress, Margaret Child of the Smithsonian Institution and Howard Lowell of the Oklahoma Department of Libraries and Archives) discussed the recommendations in Our Memory at Risk *from a national perspective.*

ISSUE 7: STATE FINANCIAL AND TECHNICAL ASSISTANCE

Conditions

The State government presently provides limited financial assistance for the preservation of some of New York's unique research resources, but this assistance is too limited in amount and scope and is insufficiently integrated both within the State Education Department and in regions across the State. Expanded technical and financial assistance programs must be carefully designed to meet the broad range of needs related to the preservation of New York's unique research resources. Expanded advisory and assistance programs are needed to make possible the proper identification, collection and preservation of our cultural memory.

Recommendation 7.1

Action: *Expand staff and contractual funds for the Conservation Preservation Program in the Division of Library Development to be used for investigation, evaluation, informational and advisory, and training services specified in recommendations above.*

Initiators: The State Legislature and the Division of Budget.

Resources: Sufficient resources, based on detailed estimates from the Division of Library Development and qualified outside experts.

Recommendation 7.2

Action: *Develop a regional records and archives technical assistance and program development system to improve the management of local government records and the identification, retention, selection, and administration of historical records in all types of repositories. As a second step, add preservation specialists in regional settings to provide detailed advice to libraries, local governments and historical records programs on preservation administration and techniques.*

Initiators: The State Legislature and the Division of Budget.

Resources: A staff of three in the External Programs section of the New York State Archives and contractual service funds sufficient to support the services of a regional records and archives specialist in each of the nine regions of the State and, later, a regional preservation specialist.

Recommendation 7.3

Action: *Expand the grant program for the Conservation/*

Preservation of Library Research Materials.

Initiators: The State Legislature, based on a legislative request from the State Education Department.

Resources: Sufficient resources based on estimates from the State Education Department.

Recommendation 7.4

Action: *Establish a program of financial assistance to local governments in the management of their records, especially those records which they are mandated by State government to retain because they are vital to the continuity of government, have long-range legal, administrative or research value, or are important to the conduct of State government.*

Initiators: The State Legislature and the Division of Budget, based on proposals from the Local Government

53. Frank Burke, Acting Archivist of the United States, gave the luncheon address.

Records Advisory Council created under Ch. 737, Laws of 1987, and the State Education Department.

Resources: State grant funds for local governments beginning at a minimum of $1,200,000 in fiscal year 1987 and rising to at least $5,000,000 by fiscal year 1990. An additional professional and an additional clerical staff position for the New York State Archives External Programs section to coordinate this program.

Recommendation 7.5

Action: *Develop a State grant-in-aid program by 1990 to assist historical records repositories in the identification, archival appraisal, retention or collection, and arrangement and description for use of records of enduring legal, administrative or research value, emphasizing development of cooperative documentation strategies and collecting programs, and shared use of facilities and expertise.*

Initiators: The State Education Department, based on advice from the State Historical Records Advisory Board,

54. Participants at the conference discussed the recommendations.

the State Archives, and regional sponsors of the records and archives program development system described in #7.2 above.

Resources: State grant-in-aid funds, the amount to be determined after further discussion of needs and the early experience of the regional program development system.

Recommendation 7.6

Action: *Support the preservation of the archival records of State government in the State Archives adequate to ensure the survival of information of enduring value to the government and people of New York.* This support should include storage space having at least minimal security, environmental control, and fire suppression systems, as well as staff and equipment suitable for conservation treatments of paper records and of special media records such as photographs, audio, video, and computer tapes and microfilm.

Initiators: The State Legislature and the Division of Budget, based on detailed estimates and justifications from the State Archives and qualified outside experts.

Resources: State appropriations in response to the estimates and requests above.

Recommendation 7.7

Action: *Support the preservation of research materials held in the New York State Library which are the basis for service to the Legislature, government, independent scholars, the State's larger research community, and the statewide interlibrary loan network which serves academic, business and industrial researchers in both the private and public sectors.* This support should include storage space having at least minimal security, environmental control, and fire suppression systems, as well as staff and equipment suitable for preservation treatments of books and paper and of special media. In addition, this support should include a pilot program to explore use of developing optical/digital disk technology, an approach to content preservation which holds great promise for increased storage capacity and improved ease of access.

Initiators: The State Legislature and Division of Budget, based on detailed estimates and justifications from the Education Department and qualified outside experts.

Resources: State appropriations in response to the budget requests as described above.

Recommendation 7.8

Action: *Promote and assist the development of regional or county-wide storage and service facilities for inactive and for archival records administered by local governments, including microfilm or other copies of such records.*

Initiators: The Division of Budget and the Legislature, based on studies from the State Archives conducted in cooperation with the Local Government Records Advisory Council and the Office of Court Administration.

Resources: Local government funds supplemented by State appropriations.

ISSUE 8: NATIONAL COOPERATION AND SUPPORT

Conditions

A variety of Federal government agencies and national organizations provide useful, though generally uncoordinated research, advice, or assistance in the preservation of research resources. A clearly defined role for these agencies and organizations is essential because certain research and development work can be carried out most effectively at the national level. It is particularly important to define carefully a leadership role for the Federal library and archival agencies and for the grant programs within these and other agencies. In addition, there is a need to avoid duplication of effort, including State and local attempts to preserve records and published materials that are already preserved elsewhere by or through the support of Federal agencies.

Recommendation 8.1

Action: *Develop a national agenda and priorities for leadership and action by Federal agencies and by national nongovernment organizations with responsibilities for preservation of unique research resources. The agenda should cover development of programs and technical standards for the creation, duplication, storage, handling and conservation of historical records and other unique research materials.*

Initiators: The Library of Congress, the National Archives and Records Administration, the National Endowment for the Humanities, the National Historical Publications and Records Commission, and such national organizations as the Council on Library Resources and its Commission on Preservation and Access.

Resources: A coordinating committee including representatives of the agencies listed above, and representatives from the archival and library communities throughout the country.

Recommendation 8.2

Action: *Increase funding for the National Endowment for the Humanities and the National Historical Publications and Records Commission to support essential research and coordinated preservation program development.*

Initiators: The New York Congressional Delegation with guidance from the Board of Regents.

Resources: Increased Federal appropriations to provide at least $5 million each to the NHPRC and the NEH annually for support of preservation of unique research resources.

Recommendation 8.3

Action: *Develop an active partnership between the newly independent National Archives and Records Administration and archivists and records administrators in State and local governments, particularly in evaluating and selecting records created at the State and local levels through Federal programs or requirements, and records of related functions at the national, State and local levels.*

Initiators: The Archivist of the United States with advice from the National Association of Government Archives and Records Administrators.

Resources: Support for meetings of working groups of national, State and local government records archivists.

Recommendation 8.4

Action: *Produce educational and public information materials on the public benefits of the preservation and use of historical records and other unique research materials and on the overall condition of these materials in the United States.*

Initiators: The Federal agencies noted in #8.1 above in cooperation with the Council on Library Resources and other appropriate national associations.

Resources: Funds to produce and disseminate the materials.

ISSUE 9: ONGOING PRESERVATION EVALUATION AND PLANNING

The present report marks the first combined overview of the preservation needs of New York's historical records and unique library research materials. The findings and recommendations in this report, the more detailed studies which will be needed for systematic and coordinated solutions, and periodic updates and refinements, will benefit New York's research community and the public. Key resource allocators and other decision makers will be able to draw on such reassessments to improve policy and programs in the private sector.

Recommendation 9.1

Action: *Prepare and disseminate periodic statistical profiles of conservation/preservation conditions and needs in institutions and agencies that administer New York's unique research resources.*

Initiators: The Division of Library Development, in cooperation with the State Archives and the State Library's Advisory Council on Conservation and Preservation of Library Research Materials.

Resources: Temporary staff and contractual funds to carry out periodic studies.

Recommendation 9.2

Action: *Develop guidelines and suggestions for a preservation self-study by each New York repository of historical records and unique library research materials, including local governments. Incorporate this self-study into the application processes for (1) State grant-in-aid programs for the treatment of historical records or other unique library research materials and (2) a formal charter for institutions holding or collecting such materials.*

Initiators: The Division of Library Development in cooperation with the External Programs staff of the New York State Archives.

Resources: Existing staff of the Archives and Library.

Recommendation 9.3

Action: *Conduct a formal statewide assessment of preservation conditions, needs, and progress every five years, including a published report and recommendations and an independent evaluation of the statewide and regional preservation programs and policies administered by the State Education Department.*

Initiators: The State Library's Advisory Council on Conservation and Preservation of Library Research Materials and the State Historical Records Advisory Board, with staff assistance by the Division of Library Development and the New York State Archives.

Resources: Staff and contractual and other funds made available through the Office of Cultural Education.

Priorities for Action

The recommendations advanced above should be addressed systematically as opportunities arise during the years ahead. But, the needs are so critical and urgent that certain initial steps can and should be taken *now* to begin rescuing New York's unique research resources from the threat of destruction. The following are recommended for priority action now:

1. The Office of Cultural Education should develop and make available a form and instructions for institutional self-studies and surveys. Every repository that holds research resources should carry out an institutional self-study and survey to identify and provide a basis for addressing its preservation needs. These surveys will provide the basis for each institution to better meet its preservation responsibilities and will also provide more detailed information needed for developing statewide approaches to the problem.

2. The Office of Cultural Education should use the present report as the basis for more detailed planning and to develop specific proposals for implementation of the report.

3. The Board of Regents, Division of the Budget, and the Legislature should provide for initiation of the

regionally-based system for improved management of local government records and of historical records repository programs. This system has been discussed and widely advocated by the library, archival, local government, and historical communities for over three years. This system would lead to improved overall administration of local government records and of historical records, an essential part of improved preservation and a precondition to many other preservation actions.

4. The Board of Regents, Division of the Budget, and the Legislature should provide for the initiation of a State grant-in-aid program for the improved administration of local government archival records and records vital to the continued operation of local governments.

5. Concerned professional associations throughout the State should act vigorously to inform the public about preservation problems and the need for programs to meet these problems. Among other actions, they should discuss preservation issues at their meetings, publish news items on preservation issues in their newsletters and journals, meet with managers of repositories to begin discussion of preservation needs, and express interest in and concern about preservation needs to appropriate government officials.

Appendices

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APPENDIX I

The New York Document Conservation Administration Training and Planning Project: History and Purpose

In 1981-83 the New York State Historical Records Advisory Board conducted an exhaustive study of historical records conditions in the State. Based on this comprehensive assessment, the Board stated in its 1984 published report, *Toward a Usable Past*, that "preservation may be regarded as the most important historical records issue in New York today. The physical deterioration of the records could nullify all efforts at improved management and access.... Unless a more systematic approach is developed to address this problem, much of New York's documentary heritage will inevitably be lost before it can be of any benefit to our citizens."

In response to this need, the New York Document Conservation Administration Training and Planning Project was initiated by the State Archives and State Library. The project had three goals:

(1) to determine preservation needs for historical records and unique research materials in the State.

(2) to upgrade the level of preservation administration in the State's institutions.

(3) to report on the preservation condition of New York's historical records and unique research materials, and to make recommendations for dealing with preservation needs both regionally and statewide.

The project was partially funded by the National Endowment for the Humanities. It was jointly administered by the New York State Archives and the State Library's Division of Library Development, with the advice and assistance of the New York Document Conservation Advisory Council.

During 1984, the project sponsored four workshops on preservation management to train one hundred administrators in New York's libraries and historical records repositories. During these workshops, participants were encouraged to discuss preservation conditions and needs in their own institutions, their regions and across the State. In 1985, follow-up meetings were held in four regions of the State. Workshop participants and other interested parties were invited to further discuss regional and statewide preservation needs, to react to suggestions for regional action, and to draft a set of recommendations for statewide action. Questionnaires were distributed to workshop participants to obtain updated information on their preservation programs and their additional comments on statewide and regional needs.

Throughout this project, administrators of New York's research resources have supplied information and have discussed drafts of the recommendations in this report. Project staff have made every effort to seek out and to incorporate their concerns and opinions. The report was reviewed at several different points by workshop participants and other interested parties and by members of the New York State Historical Records Advisory Board, The Regents Advisory Council, and the Advisory Council on Conservation and Preservation of Library Research Materials. The New York Document Conservation Advisory Council, appointed to guide the project, has provided continuing review and is most directly responsible for the statewide recommendations.

A statewide conference was held in May 1986 to bring preservation problems to the attention of the public and key decision makers. A draft of *Our Memory at Risk* was presented and discussed at that conference. Over 250 archivists, librarians, conservators, historical agency administrators, government officials and other concerned citizens attended and took part in discussion groups that reviewed and suggested refinement of specific principles, assumptions, findings, and recommendations in the draft report.

Our Memory at Risk represents the views and opinions of New York libraries, historical societies, museums, archives, local governments, historical service organizations, library systems, and state agencies. It addresses the concerns of organizations in all geographic areas of the State. And it responds to the needs of institutions varying in size from the Town of Grafton, to the Onondaga Historical Society, to the New York Public Library. This report is the product of many New Yorkers and, as such, stands as a comprehensive and representative statement of preservation needs of historical records and unique research resources in New York State.

APPENDIX II
Reviewing Groups

In addition to the New York Document Advsory Council, the following groups reviewed and commented on one or more earlier drafts of this report and its recommendations.

New York State Historical Records Advisory Board

Mission: The New York State Historical Records Advisory Board was established by Governor Mario Cuomo through Executive Order #63 in 1985, to serve as an advisory and coordinating body for historical records program development in New York. Members in 1985-1986 were:

Norman Adler
Director of Political Action and Legislation,
District #37, American Federation of State,
County, and Municipal Employees (AFSCME), Albany

William Alderson
Director,
Strong Museum, Rochester

Monroe Fordham
Associate Professor of History,
State University College, Buffalo

Norman Goodman
New York County Clerk

Richard Halsey
Dean, School of Information Science and Policy,
State University of New York at Albany

William Joyce
Firestone Library, Princeton University
(formerly Assistant Director for Rare Books and Manuscripts, New York Public Library)

Elaine Lytel
Onondaga County Clerk

Mary Nilles
Associate Professor of English,
New York City Technical College,
City University of New York

Guy Paquin
Albany County Clerk

Nelida Perez
Librarian,
Center for Puerto Rican Studies,
Hunter College

Peter Quinn
Chief Speech Writer, TIME, Inc.

Orial A. Redd
Second Deputy Clerk, Westchester County

Anne Van Camp
Corporate Archivist, Chase Manhattan Bank

Advisory Council on Conservation and Preservation of Library Research Materials

Mission: The Council, created in 1985, assists in the development and operation of the statewide grant program for conservation and preservation of research library materials. The Council (1) advises the State Librarian and Assistant Commissioner for Libraries on overall development of the conservation and preservation program, (2) advises the Division of Library Development office of conservation and preservation programs on priorities for the discretionary grants program and on other matters on which the Division may seek counsel, and (3) reports on conservation and preservation needs. Members in 1986 were:

Robert W. Arnold III
Director of Public Records,
Albany County Hall of Records

William J. Myrick
University Associate Dean for Libraries,
Office of Academic Affairs, City University of New York

William H. Loos
Curator of Rare Books,
Buffalo and Erie County Public Library

Mildred O'Connell
Assistant Development Officer,
Boston Public Library

David H. Stam
Director,
Syracuse University Libraries

Regents Advisory Council on Libraries

Mission: The Regents Advisory Council on Libraries was established "to serve as a library council with whom the University officers may consult whenever the advice or cooperation of experts may be desirable." The Council is broadly representative of libraries and statewide constituencies served by the New York State Library. Members in 1986 were:

Helen Flowers
Library Media Specialist,
Bay Shore High School Library

Nancy C. Kranich
Director of Public and Administrative Services,
Bobst Library, New York University

Elizabeth Manion
Director,
Marlboro Free Library

Richard Panz
Director,
Finger Lakes Library System

Zebulon Robbins
Director,
Educational Communications Services Division,
Albany-Schoharie-Schenectady BOCES

Nina J. Root
Chairwoman, Library Services,
American Museum of National History

John Rothman
Director of Archives,
The *New York Times*

Jean St. Clair
Queensborough Public Library (retired)

Janet M. Welch
Director,
Rochester Regional Research Library Council

APPENDIX III
Statewide Preservation Conference, May 15, 1986

On May 15, 1986, over 250 archivists, librarians, conservators, historical agency administrators, government officials, and other concerned citizens attended a conference in Albany to discuss preservation of New York's research resources and to consider a draft version of *Our Memory at Risk* that had been prepared by State Archives and State Library staff. At the conference, John Agresto, Acting Chairman of the National Endowment for the Humanities, delivered the keynote address, emphasizing the importance of documents to American society and history. Frank G. Burke, Acting Archivist of the United States, delivered the luncheon address, placing New York's preservation planning efforts in the context of national developments. A panel of national preservation experts – Jeffrey Field of the Office of Preservation, National Endowment for the Humanities, Margaret Child of the Smithsonian Institution, Carolyn Clark Morrow of the National Preservation Office, Library of Congress, and Howard Lowell, Director of the National Preservation Study of State Archives – discussed and critiqued the draft report.

During the afternoon, the participants assembled in small groups for more detailed discussion of the State's preservation needs and the report's recommendations. The discussions were summarized in reports from each group, and each individual participant at the meeting was given a questionnaire to return to express his or her individual views. In general, the people who attended the conference agreed with the report's findings and recommendations. There were recommendations for a clearer assignment of accountability and responsibility for improved preservation, for discussion of coordination of implementation of the report's recommendations, for a clearer sense of priorities, and for discussion of the extent to which New York's preservation needs could be addressed by services and programs available beyond the State's borders. The results of the discussions and of the individual questionnaires were taken into account when the draft report was revised for final consideration and approval by the New York Document Advisory Council.

APPENDIX IV
For Further Reading

The following selections represent general works in each of the nine areas listed below. This is not meant to be an extensive or exhaustive listing of bibliographic references. It is intended to be used as a "first source" to provide basic introductory information of a nontechnical nature. These references, it is hoped, offer an orientation to the field of preservation and serve as a bridge to more technical or detailed sources.

Introductory Works: The Problems

Banks, Paul N. "Preservation of Library Materials." In Kent, A., H. Lancour and J.E. Daily, eds., *Encyclopedia of Library and Information Science*, vol. 23 (New York: Marcel Dekker, 1978), pp. 180-222.

A comprehensive overview of problems associated with and methods of preserving library materials.

Council on Library Resources. *Brittle Books: Reports of the Committee on Preservation and Access*. Washington, D.C.: Council on Library Resources, 1986.

A brief overview of preservation issues addressed by the Committee with emphasis on the worldwide problem of disintegrating books printed on acidic paper. Reports suggest approaches to preserving library and archival information.

National Association of Government Archives and Records Administrators. *Preservation Needs in State Archives*. Albany, NY: NAGARA, 1986.

The first systematic attempt to document the scope of preservation problems in the nation's state archives. Specific needs are identified, and a program is proposed that will address these needs over a ten-year period. Also includes statistical data on facilities, holdings and preservation activities for each state archives.

New York State Historical Records Advisory Board. *Toward A Usable Past: Historical Records in the Empire State*. Albany, NY: New York State Historical Records Advisory Board, 1984.

Report to the Governor outlining the state of historical records in New York, identifying problems in their treatment and recommending corrective action. Preservation needs were assessed in this study and the New York Document Conservation Administration Training and Planning Project was developed in response to the needs identified in this report.

Introduction to Archives and Records Management

New York State Archives. *Managing Local Government Records: A Manual for Local Government Officials in New York State*. Albany, NY: The University of the State of New York, State Education Department, 1985.

A basic introduction to all aspects of records management for local government records. Includes administration of an archival program and microfilming.

Society of American Archivists. *Basic Manual Series*. Chicago: Society of American Archivists, 1977–.

A continuing series of instructive manuals, each focusing on a basic archival function (appraisal, reference, security, preservation, etc.) or the management of special formats of archival material (maps and architectural drawings, photographs, machine readable records, etc.).

Planning and Needs Assessment

Darling, Pamela W. *Preservation Planning Program.* Vol. I: *Assisted Self-Study Manual*; Vol. 2: *Resource Notebook*. Washington, D.C.: Association of Research Libraries, 1982.

The *Manual*, although designed for academic research libraries, is a useful step-by-step guide for preservation needs assessment. The *Notebook* is a compilation of references to copies of published and unpublished literature on library preservation. An excellent core collection on preservation management.

Northeast Document Conservation Center. *What an Institution Can Do to Survey its Conservation Needs.* Andover, MA: NEDCC, 1982.

Unpublished forms and instructions for assessing conditions and preservation needs in a small library or records repository.

Ritzenthaler, Mary Lynn. *Archives and Manuscripts: Conservation, A Manual on Physical Care and Management.* Chicago: Society of American Archivists, 1983.

A basic introduction to preservation programming in an archival institution. Includes an excellent discussion of the relationship of preservation to the overall program and a section on appropriate conservation techniques for managers of archives and manuscript collections.

Society of American Archivists. "Conservation Self Study." Society of American Archivists, Basic Conservation Program. *SAA Newsletter* (January 1982).

A simple checklist with instructions for examining facilities and collections conditions in an archives or manuscripts repository.

Environmental Standards

The following listings present highly technical information in a clear and understandable manner. They discuss the effects of environmental factors on collections and recommend standards for temperature, relative humidity, air quality, light, etc.

Banks, Paul. "Environmental Standards for Storage of Books and Manuscripts." *Library Journal*, 99 (February 1, 1974): pp. 339-43.

LaFontaine, Raymond H. *Environmental Norms for Canadian Museums, Art Galleries and Archives.* Technical Bulletin 5. Ottawa: Canadian Conservation Institute, 1979.

Library of Congress. *Paper and its Preservation: Environmental Controls.* Preservation Leaflet No. 2. Washington, D.C.: National Preservation Program, Library of Congress, 1983.

Paine, Shelley Reisman. *Basic Principles for Controlling Environmental Conditions in Historical Agencies and Museums.* Technical Report 3. Nashville: American Association for State and Local History, 1985.

Collection Maintenance

The following are general works that deal with storage, handling and treatment of library and archival materials. They offer practical information on the proper methods and procedures for managing these resources on a day-to-day basis.

Morrow, Carolyn Clark. *The Preservation Challenge: A Guide to Conserving Library Materials.* White Plains, NY: Knowledge Industry Publications, 1983.

Ritzenthaler, Mary Lynn. *Archives and Manuscripts: Administration of Photographic Collections.* Chicago: Society of American Archivists, 1984.

Ritzenthaler, Mary Lynn. *Archives and Manuscripts: Conservation, A Manual on Physical Care and Management.* Chicago: Society of American Archivists, 1983.

Swartzburg, Susan G., ed. *Conservation in the Library: A Handbook of Use and Care of Traditional and Nontraditional Materials.* Westport, CT: Greenwood Press, 1983.

Security, Disaster Prevention and Preparedness

Bohem, Hilda. *Disaster Prevention and Disaster Preparedness*. Berkeley, CA: University of California Office of Library Plans and Policies, 1978.

A standard pamphlet outlining steps and options to consider in developing a disaster plan.

Fennelly, Lawrence. *Museum, Archive and Library Security*. Woburn, MA: Butterworths, 1982.

Morris, John. *The Library Disaster Preparedness Handbook*. Chicago: American Library Association, 1986.

A useful publication dealing with disaster preparedness, security and insurance, and risk management libraries. Applicable to archival institutions.

New York University. The Preservation Committee. *Disaster Plan Workbook*. New York: NYU Libraries, 1984.

Step-by-step assistance in developing and writing a disaster plan.

O'Connell, Mildred. "Disaster Planning: Writing and Implementing Plans for Collections-Holding Institutions." *Technology and Conservation*, 8 (1983): pp. 18-24.

Easy to follow instructions on preparing and writing a plan. Excellent for the smaller institution.

Walch, Timothy. *Archives and Manuscripts: Security*. Chicago: Society of American Archivists, 1977.

Waters, Peter. *Procedures for Salvage of Water Damaged Library Materials*. 2nd ed. Washington, D.C.: Library of Congress, 1979.

A basic text, useful in writing a plan; a MUST in a crisis.

Preservation Microfilming

The following three citations are procedures and specifications developed by the Library of Congress. These are written in accordance with the ANSI/AIIM specifications for production of archival quality film but are far more understandable to a lay audience.

Library of Congress. *Processing Manual*. Washington, D.C.: Preservation Microfilming Office, 1981.

Library of Congress. *Specifications for the Microfilming of Books and Pamphlets in the Library of Congress*. Washington, D.C.: Photoduplication Service, 1973.

Library of Congress: *Specifications for the Microfilming of Manuscripts in the Library of Congress*. Washington, D.C.: Photoduplication Service, 1980.

Preservation Microfilming: An Administrative Guide for Librarians and Archivists. Nancy Gwinn, ed. (unpublished manuscript).

A long-awaited guide to the selection, preparation and filming of both library and archival material. Expected publication date – December 1987

Bibliographies on Preservation and Preservation Administration

Cunha, George M. and Dorothy Grant Cunha. *Library and Archives Conservation: 1980s and Beyond*. Vol. II: Bibliography. Metuchen, NJ: Scarecrow Press, 1983.

A supplement to Cunha's comprehensive 1972 bibliography on conservation. Entries are arranged by subject.

Library of Congress. *Preservation of Library Materials: First Sources*. Preservation Leaflet No. 2. (revised). Washington, D.C.: National Preservation Program, Library of Congress, 1982.

Society of American Archivists. "A Basic Bibliography for Conservation Administration." Society of American Archivists, Basic Conservation Program. *SAA Newsletter* (May 1981).

Newsletters

The Abbey Newsletter. Ellen McCrady, Editor. 320 E. Center Provo, Utah 84601

Conservation Administration News (CAN). Robert H. Patterson, Editor. University of Tulsa, McFarlin Library, 600 South College Avenue, Tulsa, OK 74104.

National Preservation News. Carolyn Clark Morrow, Editor. Library of Congress, National Preservation Program Office, LM G07, Washington, D.C. 20540.

APPENDIX V
Sources of Assistance and Advice

These listings, like those in the bibliography, are not comprehensive. They are sources for initial contact from which additional referrals may be obtained. This listing was developed to assist New Yorkers and, therefore, contains references to organizations either in or easily accessible to New York. Private companies and individuals in private practice are not included, but referrals may be obtained from sources in this listing.

Training (workshops, seminars, etc.), including general professional development.

Conservation service centers:

Northeast Document Conservation Center
Abbot Hall, School Street
Andover, MA 01810
617-470-1010

Conservation Center for Art and Historic Artifacts
264 South 23rd Street
Philadelphia, PA 19103

Department of Conservation
Cornell University Libraries
214 John M. Olin Library
Ithaca, New York 14853-5301
607-255-9687

New York's four regional historical service organizations:

Federation of Historical Services
189 Second Street
Troy, New York 12180
518-273-3400

Lower Hudson Conference
2199 Saw Mill River Road
Elmsford, New York 10523
914-592-6726

Regional Council of Historical Agencies
1509 Park Street
Syracuse, New York 13208-1620
315-475-1525

Western N.Y. Association of Historical Agencies
P.O. Box 383
Geneseo, New York 14454-0383
607-756-7739

New York's nine Reference and Research Library Resources Systems:

Capital District Library Council for Reference and Research Resources
2255 Story Avenue
Schenectady, New York 12309
518-382-2001

Central New York Library Resources Council
763 Butternut Street
Syracuse, New York 13208
315-478-6080

Long Island Library Resources Council, Inc.
Melville Library Building
Suite E5310
Stony Brook, New York 11794-3399
516-286-0400

New York Metropolitan Reference and Research Library Agency, Inc. (METRO)
57 Willoughby Street
Brooklyn, New York 11201
212-852-8700

North Country Reference and Research Resources Council
P.O. Box 568
7 Commerce Drive
Canton, New York 13617
518-386-4569

Rochester Regional Library Council
339 East Avenue
Rochester, New York 14604
716-232-7930

South Central Research Library Council
DeWitt Building
215 North Cayuga Street
Ithaca, New York 14850
607-273-9106

Southeastern New York Library Resources Council
Route 299
P.O. Box 879
Highland, New York 12528
914-471-0625

Western New York Library Resources Council
180 Oak Street
Buffalo, New York 14203
716-852-3844

Regional and national library and archival organizations offer workshops and sessions on preservation and related topics at their meetings and conferences:

New York Library Association (NYLA)
15 Park Row Suite 434
New York, New York 10038
212-227-8032

Mid-Atlantic Regional Archives Conference
c/o Brother Denis Sennett
Friars of the Atonement Archives
Graymoor
Garrison, New York 10524
914-424-3671 ext. 60

Long Island Archives Conference
Fr. Harry Culkin, President
Diocese of Brooklyn
Cathedral College
7200 Douglaston Parkway
Douglaston, New York 11362
212-631-4600

Archivists' Round Table of Metropolitan New York
Ellen Sowchek, Secretary/Treasurer
Pace University Archives
Pace Plaza, Room T1519
New York, New York 10038
212-285-3331

Lake Ontario Archives Conference
c/o Amy Doherty, University Archivist
Syracuse University
Syracuse, New York 13210
315-423-3335

National library and archival organizations:

American Library Association
50 East Huron Street
Chicago, IL 60611
312-944-6780

Society of American Archivists
600 S. Federal, Suite 504
Chicago, IL 60605
312-922-0140

Formal training programs for conservators and conservation administrators include:

Conservation and Preservation Programs
School of Library Service
514 Butler Library
Columbia University
New York, New York 10027
212-280-2293

Conservation Program
Institute of Fine Arts
New York University
1 East 78th Street
New York, New York 10021
212-998-5550

Art Conservation Department
Buffalo State College
230 Rockwell Hall
1300 Elmwood Avenue
Buffalo, New York 14222
(716) 878-5025

Surveys

Northeast Document Conservation Center
Abbott Hall, School Street
Andover, MA 01810
617-470-1010

Conservation Center for Art and Historic Artifacts
23 South 23rd Street
Philadelphia, PA 19103
215-545-0613

New York Conservation Consultancy
Cooper-Hewitt Museum
2 East 91st Street
New York, New York 10028

Department of Conservation
Cornell University Libraries
214 John M. Olin Library
Ithaca, New York 14853-5301
607-255-9687

Sources of Preservation Supplies

In addition to commercial suppliers, the four regional historical service agencies listed above often purchase preservation supplies (acid-free materials) in volume and offer small quantities to members at reasonable rates.

Funding

A number of national, State and local agencies and foundations provide funds for preservation activities. The agency should be contacted directly for information on funding guidelines, priorities and filing deadlines.

New York State Conservation/Preservation Program
Division of Library Development
New York State Library
10C47, Cultural Education Department
Albany, New York 12230
518-474-6971

National Endowment for the Humanities
Office of Preservation, Room 802
1100 Pennsylvania Avenue, NW
Washington, D.C. 20506
202-786-0200

National Historical Publications and Records Commission
National Archives and Records Administration
Washington, D.C. 20408
202-523-5386

National Museum Act
Arts and Industries Building
Smithsonian Institution
Washington, D.C. 20560
202-357-1300

Technical Advice and Information

New York State Archives External Programs Office
Room 10A63, Cultural Education Center
Albany, New York 12230
518-473-8037

New York State Conservation/Preservation Program
Division of Library Development
Room 10C47, Cultural Education Center
Albany, New York 14607
518-474-6971

Conservation Center
International Museum of Photography
George Eastman House – 900 East Avenue
Rochester, New York 14607
716-271-3361

Committee for the Preservation of Architectural Records (COPAR)
c/o New York Chapter of A.I.A.
457 Madison Avenue
New York, New York 10022
212-838-9350

Technical & Education Center of the Graphic Arts
Rochester Institute of Technology
1 Lomb Memorial Avenue
Rochester, New York 14623
716-475-2791

Collections Care Center
Bureau of Historic Sites
Division for Historic Preservation
New York State Parks, Recreation & Historic Preservation
Peebles Island
Waterford, New York 12188
518-237-8643

Northeast Document Conservation Center
Abbott Hall, School Street
Andover, MA 01810
617-470-1010

Conservation Center for Art and Historic Artifacts
264 South 23rd Street
Philadelphia, PA 19103
215-545-0613

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